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# Records Management

## Procedures Manual

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# Records Management

## Procedures Manual

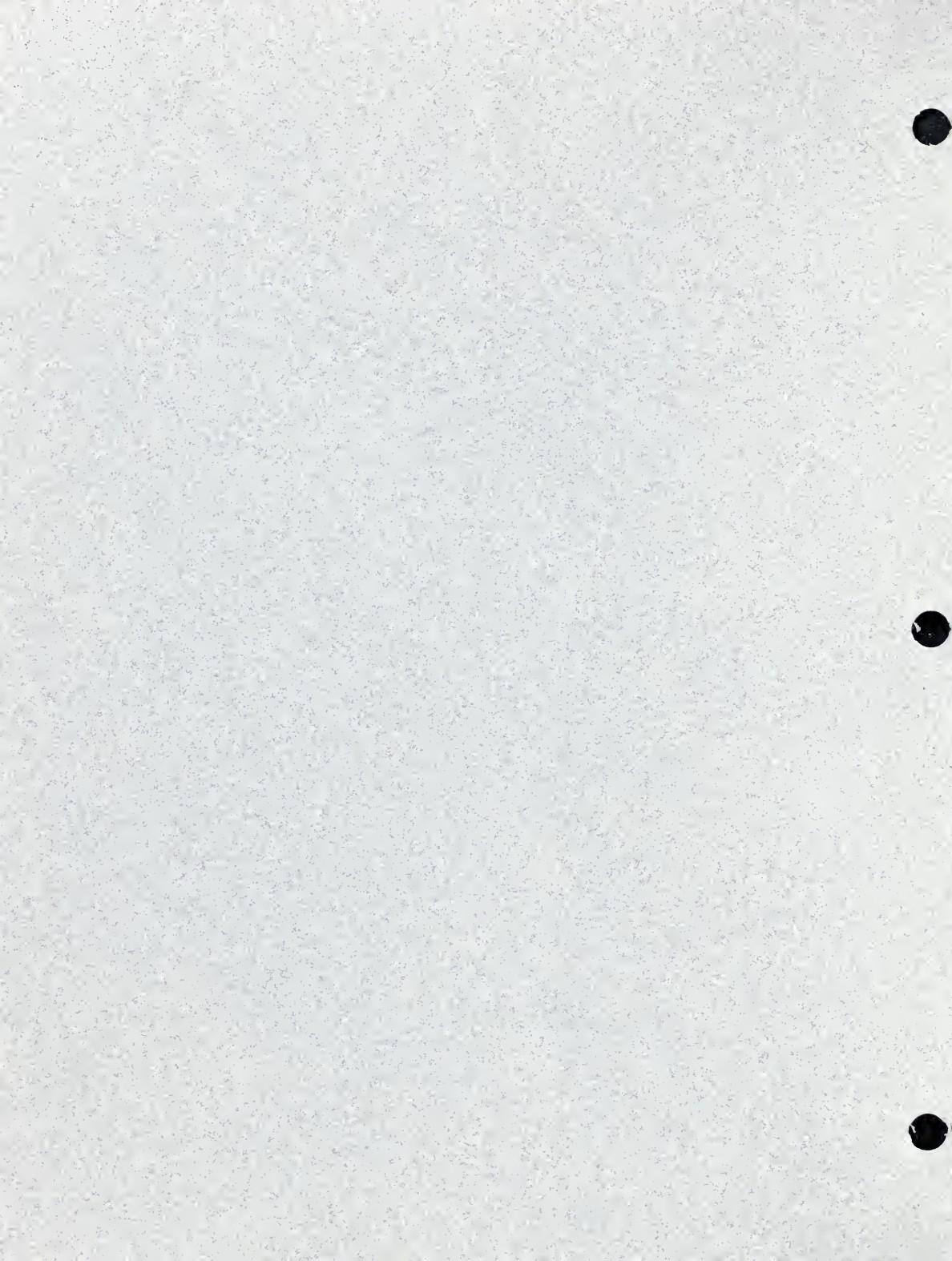
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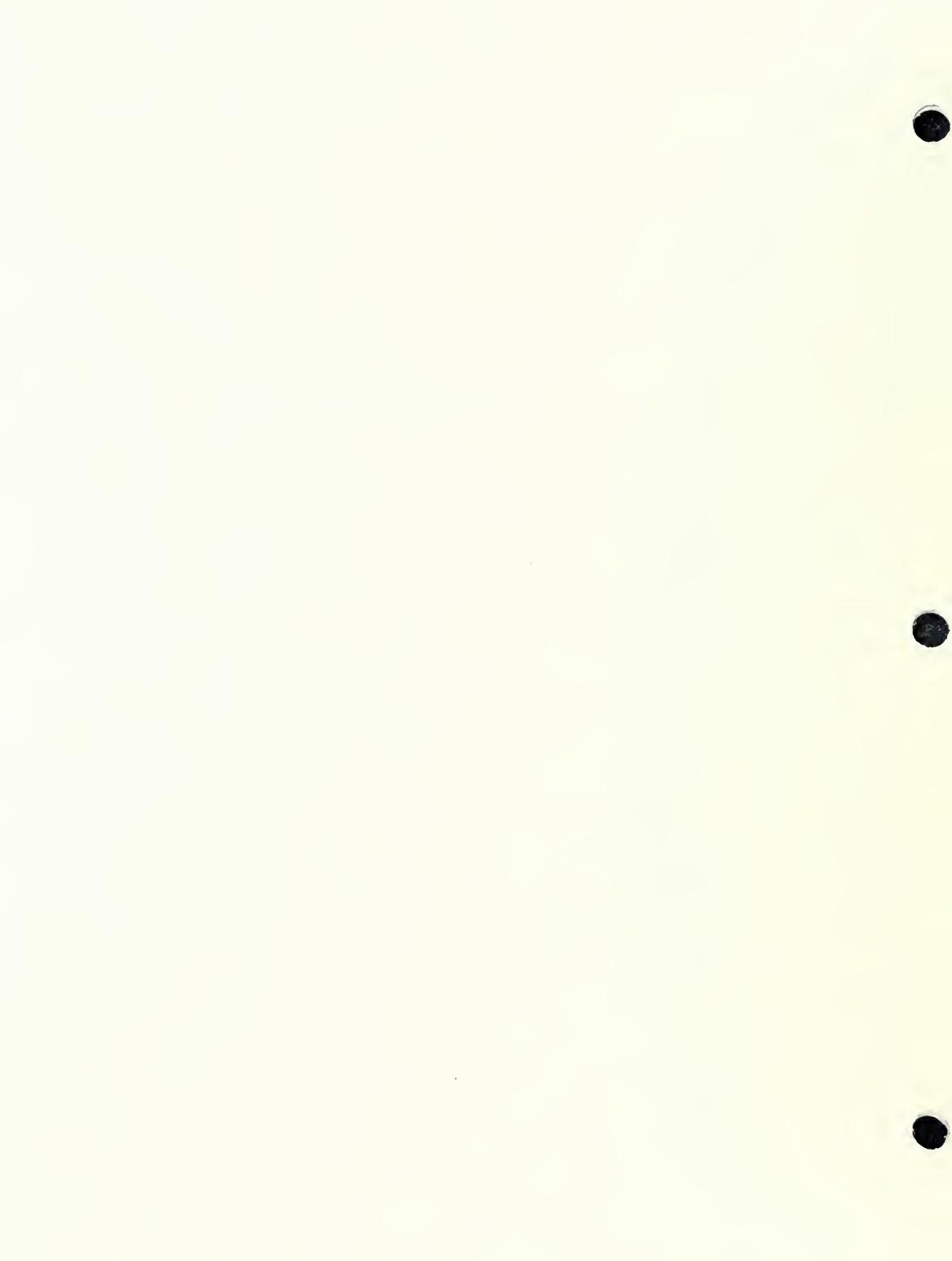
# **Records Management Procedures Manual**

**Office Support Unit**

**Montana Department of Transportation**

**Helena, Montana**

**October 1991**







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# Foreword

Jane Burgio, New Jersey Secretary of State, wrote in the *New Jersey Records Management Manual* that, "The accomplishments and accountability of municipal government is revealed through the creation, the maintenance and adherence to the public interest. Here are the pathways of local history. Here is where the lawful rights of citizens are upheld." And yet, the most common remark made by individuals in the Montana Department of Transportation is, "Who has time for records management?"

Gallatin County Law and Justice Center's records were destroyed by fire in October 1990. Thousands of man-hours had to be dedicated to reconstruct or salvage the records damaged in the fire. If precautionary measures were taken to identify and protect these records, the Justice Center could have continued day-to-day operations with little disruption. Only a few moments each day dedicated to the protection of vital records could have saved thousands of man-hours which can never replace or completely reconstruct the history of that government entity.

In December 1990, a water pipe burst at Paris Gibson Square in Great Falls, Montana, which houses the Cascade County Historical Society. Hundreds of historical documents were water damaged. Hundreds of man-hours had to be spent to salvage the valuable and historical documents.

Time, money, and manpower seem to be the excuses given for not implementing a records management program. Who can justify the time and expense required to reconstruct and salvage documents when all that was needed was to spend a few moments each day to begin planning and caring for the records we, as public employees, are charged to protect?

A records management program doesn't have to be accomplished all at once; all it takes is the knowledge, appreciation and dedication of a few minutes each day. Employees are urged to start using the procedures outlined in this manual and to begin building on the program. The department's records and history are in our hands. Let's begin today to protect them.

Jo Anne Eschler, Manager  
Office Support Unit



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# Acknowledgements

I would like to express my appreciation for the assistance of Patti Borsberry, Records Technician; to the Word Processing Section; to Dennis Unsworth, Jeanne Huntley and Sean Seville of the Public Affairs Bureau; to the members of the Users' Committee for Records Management; to the North Dakota Department of Transportation; to Peggy Lamberson, Great Falls City Clerk/Records Manager; and to all of the MDT employees for their suggestions.

This manual wouldn't have been realized without the tremendous support from John Rothwell, Director of Transportation, and William Salisbury and Donald Lovely, Administrator and Assistant Administrator of the Administration Division, respectively.

It's my pleasure to present the Montana Department of Transportation's *Records Management Procedures Manual*.

Jo Anne Eschler, Manager  
Office Support Unit



# Introduction

Records are indispensable in the efficient and economical operation of our department. They serve as the memory—the evidence of past events and the basis for future actions. When created, maintained and disposed of in a systematic and orderly way, records are a tremendous asset; when handled in a haphazard or disorderly manner, they reduce efficiency and increase costs tremendously.

The objectives of MDT's records management program are:

- 1) *To save space*
  - by removing records no longer of significant value from costly office and storage space; and
  - by maintaining a systematic flow of records from office to storage to disposal.
- 2) *To save money*
  - by using a records center for low cost storage of inactive records; and
  - by limiting the need for purchase of additional storage equipment.
- 3) *To save time*
  - by reducing the volume of records that are filed and refiled; and
  - by instituting systems that provide quick and accurate access to records.
- 4) *To ensure compliance with policy and law*
  - by adhering to requirements in federal and state law; and
  - by following the directives outlined in the director's Management Memo 85-04, which establishes this records management program and mandates that it be followed.

The department has established two uniform filing systems to help reach these goals. One is for general records (administrative and operational) and the other is for highway construction, project-related records. The filing systems provide a process of classifying, arranging, sorting, and storing records so they can be easily located and retrieved.



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In addition to the two standard filing systems, the department has initiated a green-stamp procedure that complements the systems. Documents bearing the green stamp are considered 'permanent' ... until the retention date has been met. Further explanation and guidelines for the use of the green stamp are included in this manual.

Of course, the other important part of our records management program is preparing and following record retention schedules tailored for each office.

This manual is part of our initial effort to establish a department-wide program. Your suggestions for improving any aspect of the records management program are welcome. Direct them to:

Jo Anne Eschler, Manager  
Office Support Unit  
Montana Department of Transportation  
Helena, Montana 59620  
444-7252









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# Chapter I—General Filing System

***Uniform filing...***

The general filing system will be used for administrative and operational records (non-project related). This system will be uniform for all MDT offices (see Management Memo 85-04—Appendix B).

***Lateral files are the standard...***

Vertical or lateral file cabinets can be used. However, lateral file cabinets using color-coded filing folders will become MDT's office standard.

***Green-stamped documents are considered permanent...***

A "Green Stamp" copy must be made for all documents originated in our department or received from outside this agency. It does not have to be the original. Documents bearing the green stamp are considered "permanent" ... until the retention period expires. Once the retention period has been met, follow the disposal request procedures (see Chapter V). "Green Stamp" procedures are outlined in Chapter IV of this manual.

General file records are separated by:

Primary Classifications  
Secondary Classifications  
Tertiary Classifications

**For Vertical (Traditional) File Cabinets:*****Classifications...***

1) Primary classifications separate the records (listed on pages I-9 through I-15). Guides with colored labels denoting these primary classifications are placed in the file drawer. Primary classification guides are left-cut only. The colored label is the same on all guides (primary and secondary positions) and folders (tertiary position) until the next primary classification begins. A different colored label is used for each primary classification.

2) The secondary classifications further describe the primary classifications. Any secondary title can be used, but try to use descriptive nouns. The secondary guides follow the primary guide in the file drawer. Secondary guides are center-cut only. Secondary guide labels are the same color as the label used for the corresponding primary classification.

3) The tertiary classification (or third position) is where the file folders are located. Only 2/5 right-cut file folders are used. The label details the contents of the folder and should include the fiscal year. The folder for the current fiscal year is placed in front of prior years. Folder labels are the same color as the labels used for the corresponding primary and secondary classification.

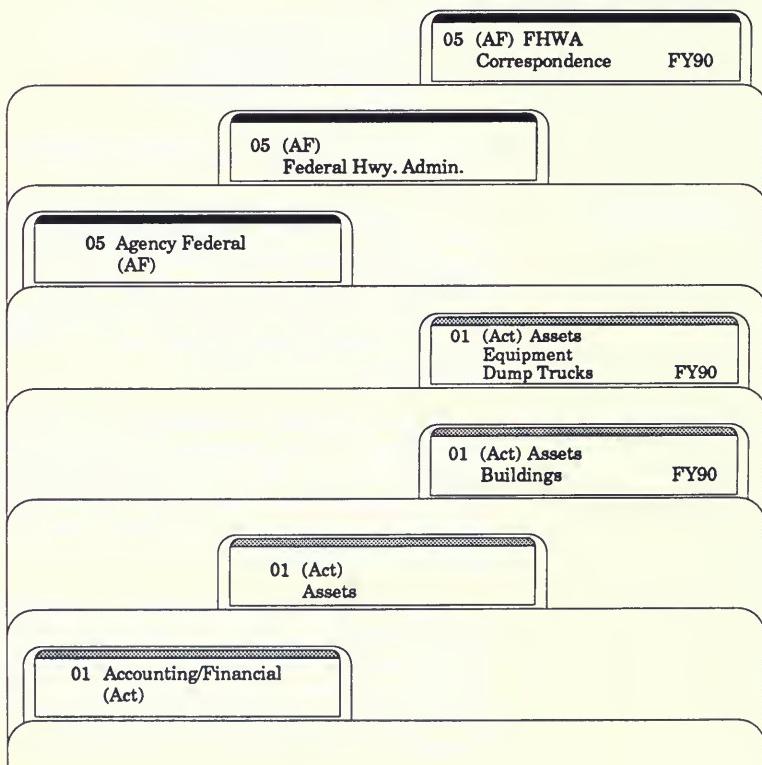
*Different colored  
label for each  
primary classifica-  
tion...*

A miscellaneous category can be used within a primary classification. This folder would be located in the tertiary section. This is for documents that relate to the primary classification, but aren't enough for a folder. If related documents total five pieces, an appropriate folder should be made.

An example of guides and folders within the classification systems is illustrated below. Remember, a different colored label is used for each primary classification. This color is the same on all guides and folders until the next primary classification begins.

#### **Vertical (Traditional) Filing System Layout**

Primary— Left Position <i>Guide Only</i>	Secondary— Middle Position <i>Guide Only</i>	Tertiary - Right Position <i>Folder Only</i>
--	--	--



---

## GENERAL FILING SYSTEM (CONTINUED)

### Labels for the Vertical (Traditional) Filing System

- Use color-bar adhesive labels.
- Type labels.
- Indent each line.
- Type labels for primary guides with classification number, name and abbreviation underneath.

Sample:



- Type labels for secondary guides with the primary classification number and abbreviation on the first line. Secondary classification is underneath.

Sample:



- Type labels for tertiary folders with the primary classification number, abbreviation and secondary classification on the first line. Tertiary description and fiscal year are underneath.

Sample:



- Offices have the option of placing the color bar at the bottom. Users may find the color is more visible on the end tab with the color bar in that position.

Sample:



## Lateral Filing System Layout

10 (AS) Commerce Correspondence FY90	1 0	10 (AS) Fish, Wildlife & Parks Correspondence FY90	1 0	12 (AOC) AASHITO Annual Meetings FY90	1 2	30 (C/M) Council on Aging Correspondence FY90	3 0	30 (C/M) Council on Aging Minutes FY90	3 0
--------------------------------------	--------	--	--------	---------------------------------------	--------	---	--------	--	--------

**For Lateral File Cabinets:**

- 1) Primary classifications separate the records (listed on pages I-9 through I-15). The primary classifications use two-digit colored labels. Guides aren't used in the color-coded lateral system.
- 2) The secondary classifications further describe the primary classifications. Any secondary title can be used, but try to use descriptive nouns. A color-bar label is used for the secondary classification. The color-bar is the same color as the first number of the primary classification's two-digit colored labels.
- 3) The tertiary classifications and fiscal year are typed as the second line of the label. The label details the contents of the file. The folder for the current fiscal year is placed in front of prior years.

A miscellaneous category can be used within a primary classification. This folder would be located in the tertiary section. This is for documents that relate to the primary classification but aren't enough for a folder. If related documents total five pieces, an appropriate folder should be made.

**Labels for the Lateral Filing System**

*There are two types of labels on each folder in the lateral filing system, with the exception of personnel files. (The instructions for personnel files start on page I-7.) There are:*

1. the numeric labels, and
2. a color-bar label.

For the numbers on the end tab of the folder:

- The numbers that are placed on the end tab of the folder are the two-digit primary classification numbers (see pages I-9 through I-15 for these numbers).
- When placing the numeric labels on the end tabs of the folders, it's important to follow these steps:
  - These two-digit numbers go at the bottom of the end tab. Place the second number (of the primary classification) at the bottom of the end tab and the first number (of the primary classification) directly above it.

- Be consistent about placing the numeric labels at the bottom of the end tab. If the colored labels aren't placed in the same location on all folders, the color sequence that appears on the file shelf will not turn out correctly and the file folders will appear to be staggered.

For the color-bar label on the end tab of the folder:

- Use color-bar, self-adhesive labels. The color-bar label is the same color as the first number on the end tab of the file folder. The two-digit number is the primary classification number.
  - The color-bar label is placed sideways on the end tab directly above the two-digit primary classification number.
- Type the labels.
- Indent each line.

Following is an example of a typed label for a lateral file folder:



This label is read as follows:

- 10 (AS) is the *Primary Classification* (see page I-9)
- Fish, Wildlife & Parks is the *Secondary Classification*
- Correspondence is the *Tertiary Classification*
- FY90—All files are identified and labelled by *fiscal year*.

Colors make file retrieval much faster and easier. When a file folder is filed incorrectly, the colors will alert the file clerk that the folder has been misfiled.

An example of a lateral file layout is on page I-4

**Labels for Personnel Files in the Lateral Filing System**

*There are three types of labels on each personnel file folder in the lateral filing system:*

1. a color-bar label,
2. the numeric labels (primary classification number), and
3. a solid color alpha label.

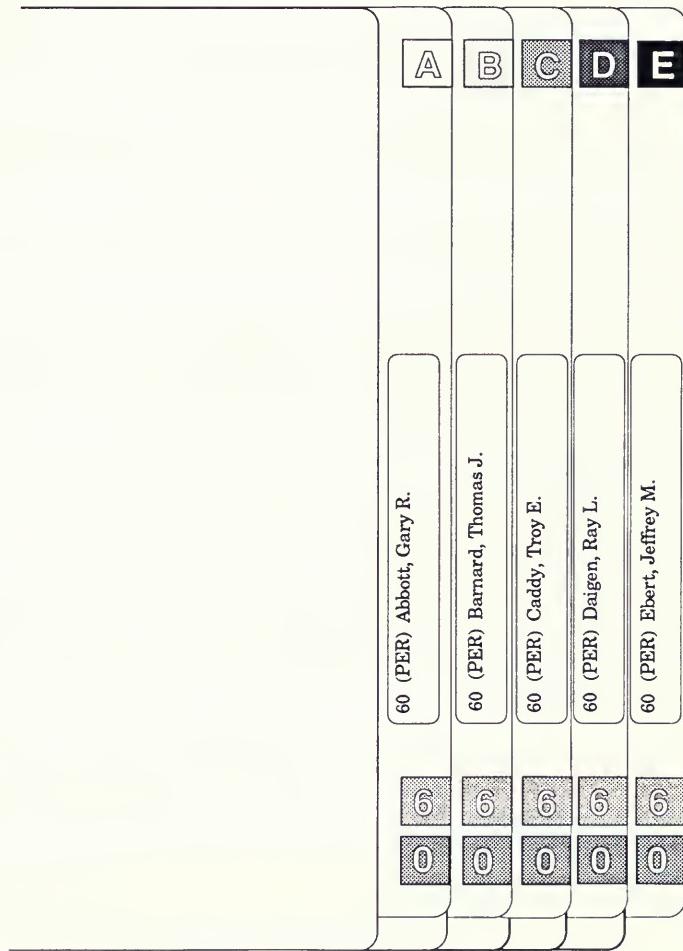
Follow the instructions for preparing labels for the lateral filing system (see page I-5), with the following additions:

- For personnel files, place a solid-colored alpha label at the top of the end tab of the file folder. The alpha label is the same as the first letter of the surname on the personnel folder, e.g., a "J" for Jones.
- Be consistent about placing the solid-colored alpha label at the top of the end tab. If these labels aren't placed in the same location on all folders, the color sequence that appears on the file shelf will not turn out correctly.
- Solid-color alpha labels aren't available through Central Stores. They'll have to be purchased locally. Buy labels that are solid colors with the letters in white. They come 250 labels per roll. Assortment packs are available.

The colored alpha labels will make file retrieval much faster and easier. When a file folder is filed incorrectly, the alpha label will alert the file clerk that the folder has been misfiled.

An example of a lateral file with a colored alpha label at the top of the end tab is on page I-8.

## Lateral Filing System Layout With Colored Alpha Label



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## **General Filing System—Primary Classifications**

### **Primary Classifications (Used Only in the General Filing System)**

01 (ACT)	Accounting/Financial
05 (AF)	Agency Federal
10 (AS)	Agency State
12 (AOC)	Associations
14 (BUD)	Budgets
16 (CTC)	City/Town/County
18 (CR)	Civil Rights
30 (C/M)	Committees/Meetings
32 (COM)	Communications/News Releases
34 (CON)	Consultants
36 (C/L/A)	Contracts/Leases/Agreements
40 (ED/T)	Education/Training
41 (ENG)	Engineering
43 (ENV)	Environmental
45 (EQ)	Equipment
48 (GC)	General Correspondence (see definition)
50 (LG)	Legal
55 (LEG)	Legislation
57 (MTC)	Maintenance
60 (PER)	Personnel
62 (P/P)	Policies/Procedures
65 (PRO)	Programs and Projects
67 (PUR)	Purchasing
69 (R/W)	Right-of-Way
80 (SA)	Safety
85 (S/D/D)	Staff/Division/District (see definition)
90 (S/S/R)	Survey/Study/Report
95 (TS)	Transportation Systems

---

### **Definitions of Primary Classifications (with examples)**

**01 (ACT) Accounting/Financial**—All functions involved in financial transactions except budgets.

- Accounts Payable
- Accounts Receivable
- Allotments
- Assets
- Audits
- Claims
- Cost Evaluations
- Cost Reductions
- Fees
- Funds
- Inventories
- Invoices
- Payrolls
- Permit Revenue
- Revenue Sharing
- Status of Funds
- Tax
- Time Sheets
- Vouchers

**05 (AF) Agency Federal**—Information related to a federal agency (reports, data, audits, correspondence, etc.).

- Bureau of Reclamation
- Civil Service Commission
- Corps of Engineers
- Environmental Protection Agency
- Farm Home Administration
- Federal Housing Authority
- FHWA
- Fish and Wildlife Service
- Human Rights
- Indian Affairs
- National Weather Service
- Transportation Department
- U.S. Forest Service
- Etc.

---

**GENERAL FILING SYSTEM—PRIMARY CLASSIFICATIONS (CONTINUED)**

**10 (AS) Agency State**—Information relating to any state agency (reports, data, correspondence, etc.).

Administration  
Agriculture  
Auditor, State  
Commerce  
Corrections and Human Services  
Family Services  
Fish, Wildlife & Parks  
Governor's Office  
Health & Environmental Sciences  
Historical Society  
Justice  
Labor & Industry  
Lands  
Legislation  
Library, State  
Livestock  
Lt. Governor  
Military Affairs  
Natural Resources & Conservation  
Public Instruction, Office of  
Etc.

**12 (AOC) Associations**—Information concerning organizations our employees belong to outside of MDT (corporate data, conferences, membership rosters, institutes).

AAA  
AASHTO  
ARTBA  
MACO  
WASHTO

**14 (BUD) Budgets**—All functions involving budgets.

**16 (CTC) City/Town/County**—Any information concerning any city or county. Don't substitute for highway construction project material; only material not related to a highway construction project.

---

**18 (CR) Civil Rights—Materials such as:**

Affirmative Action  
DBE  
EEO  
Equal Employment  
Minority Businesses  
Title IV, VI, III  
WBE

Examples: Audits  
Discrimination Complaints  
Manuals  
Programs  
Projects  
Reports  
Training

**30 (C/M) Committees/Meetings—Committees, councils, similar organized bodies and meetings (objectives, agendas, scheduling, minutes, reports on meetings).**

Aeronautics Board  
Data Processing Advisory Council  
District Engineer Meetings  
Highway Commission  
Staff Meetings

**32 (COM) Communications/News Releases—Material pertaining to any form of communication concerning equipment, procedures, vendors, contractors, correspondence.**

Press Releases  
Radio  
Speeches  
Telephone  
Telephone Requests

**34 (CON) Consultants—Companies or individuals whose services are (or have the potential of being) used by the Montana Department of Transportation. Includes information, references, proposals, audits, guidelines. File by corporate title or last name of individual.**

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**GENERAL FILING SYSTEM—PRIMARY CLASSIFICATIONS (CONTINUED)**

36 (C/L/A) Contracts/Leases/Agreements—Information and documents regarding agreements, leases and contracts entered into or granted to the Montana Department of Transportation.

40 (ED/T) Education/Training—Any information regarding education, training seminars, etc.

41 (ENG) Engineering\*—Records pertaining to the design and construction of Montana's highway system, but are not specific to a highway project.

43 (ENV) Environmental—Records pertaining to environmental and energy issues. (Project-specific records should be filed in their respective project file.)

Underground Tanks, Sumps, Wells  
Hazardous Waste  
Work Plans  
Water Quality  
Impact/Resource Studies  
Dust Suppression  
Etc.

45 (EQ) Equipment—Any information related to equipment actually owned or leased by the department (owners' manuals, specification lists, rental rates, usage reports, correspondence, etc.)

48 (GC) General Correspondence—Miscellaneous non-record material. Documents prepared for short-term reference, such as bulletins, correspondence, FYI documents, etc. *These should have an approximate six-month life span.*

50 (LG) Legal—Any communication with Legal Services or law firms, including Attorney General's opinion letters, claims, complaints, litigation and general information or matters handled by legal authorities.

55 (LEG) Legislation—Reference material on what is proposed or enacted into law (federal, state, municipal). Include initiatives, referendums, copies of laws, requirements, and regulations.

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**GENERAL FILING SYSTEM—PRIMARY CLASSIFICATIONS (CONTINUED)**

57 (MTC) Maintenance—Records pertaining to the maintenance and preservation of Montana's highways and facilities. Documents pertaining to:

Buildings and Land  
Rest Areas  
Snowplowing  
Sanding  
Weed Control

60 (PER) Personnel—Records include employee resumes, record of employment, position classification, compensation, profile, recruitment, benefits, development, unions, etc.

AFSCME  
Awards  
Benefits  
Orientation  
Position Descriptions

62 (P/P) Policies/Procedures—Guidelines on established principles of conduct and the method of operation for the department.

Goals  
Lists  
Manuals  
Per Diem  
Permit Procedures

65 (PRO) Programs and Projects—Special programs not related to other file categories.

Building Replacement	Pavement Markings
CADD	Records Management
Disaster Emergency	Campaigns (United Way,
IRM	Savings Bonds)

67 (PUR) Purchasing—Materials such as:

Bids  
Central Stores  
Purchase Orders  
Requisitions  
Vendors

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**GENERAL FILING SYSTEM—PRIMARY CLASSIFICATIONS (CONTINUED)**

69 (R/W) Right-of-Way—Records pertaining to control and use of highway right-of-way. Documents such as:

- Approach Permits
- Encroachment Permits
- Excess Land
- Junk Yards
- Outdoor Advertising

80 (SA) Safety—Records relating to operating safety requirements, precautions, protection from damages, risk, injury, responsibility, reports pertaining to safety.

- OSHA
- Personnel Safety
- Procedures
- Regulations

85 (S/D/D) Staff/Division/District—Correspondence, monthly reports, letters, memos within your own staff, other divisions and districts.

90 (S/S/R) Survey/Study/Report—Statistical data, comprehensive or comparative studies, recurring reports that don't pertain to any other category.

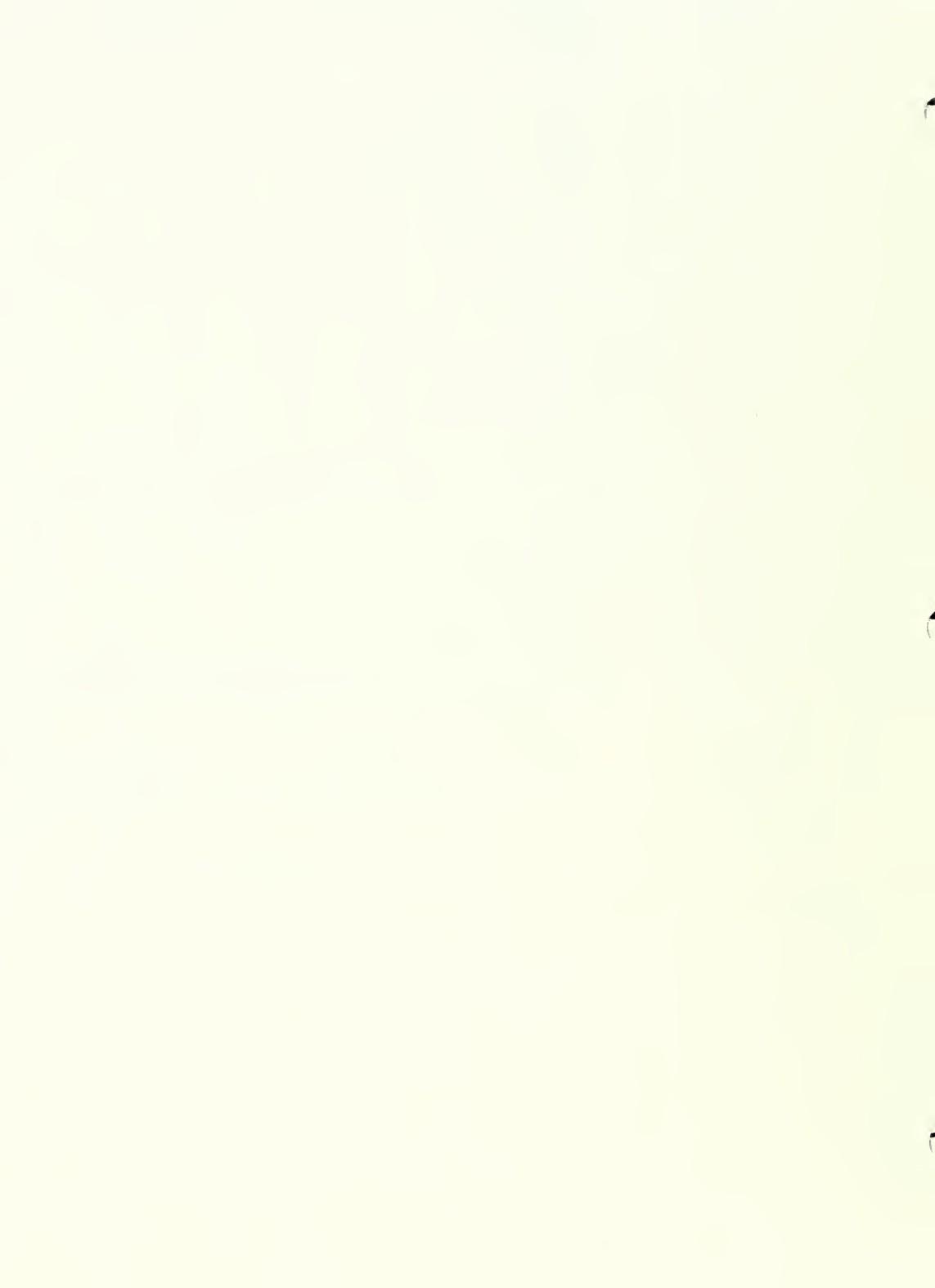
95 (TS) Transportation Systems\*—Materials such as:

- Bike Trail
- Intermodal
- Lewis & Clark Trail
- Missiles
- Urban System
- Waterways

\* Not used if document pertains to a highway construction project.











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## Chapter II—Highway Project Filing System

The highway project filing systems are used for project-related documents. There are two uniform filing schemes for these types of files:

1. by the alpha-numeric project identification (I.D.), and
2. by the four-digit uniform project number plus the agreement number.

Highway project-related offices will file by the alpha-numeric project identification for their project files.

Accounting-related offices will file by the four-digit uniform project number, plus the agreement number, for their highway project files.

*A highway project is defined as any road project approved by the Highway Commission or management based on nominations made by the district and headquarters offices. It is inclusive of all phases (i.e., PE, R/W, IC, Constr.), agreements and splits that may be involved throughout its life.*

Vertical or lateral file cabinets can be used. Lateral file cabinets using color-coded file folders will become the office standard.

A 'Green-Stamp' copy must be made for **all** highway documents related to projects. The 'Green-Stamp' copy becomes the master project file copy. Guidelines for the use of the "Green Stamp" are in Chapter IV of this manual.

All file labels must be cross-referenced with the uniform project number and the alpha-numeric project identification.

Highway project files can be placed in the filing cabinet three ways:

1. separated by their type, e.g., interstate, primary, secondary, etc.;
2. filed by the route numbers, which will separate the folders numerically, e.g., 15, 90, 308, etc., or
3. filed by the four-digit uniform project number.

## **Labels for the Vertical (Traditional) Filing System**

### **Highway project-related Offices:**

1. Use adhesive labels. Offices may want to establish a color-coded labeling system for their vertical files.
2. Type all labels.
3. Type the alpha-numeric project identification on the first line of the label.
4. Type the four-digit uniform project number on the first line, but on the extreme right side of the label. It isn't necessary to include the agreement number with the uniform project number. The agreement number is always the same as the one used for the alpha-numeric project ID.

Sample:

F 86-1(9)11  
2389

5. Type the project location/description on the second line of the label.

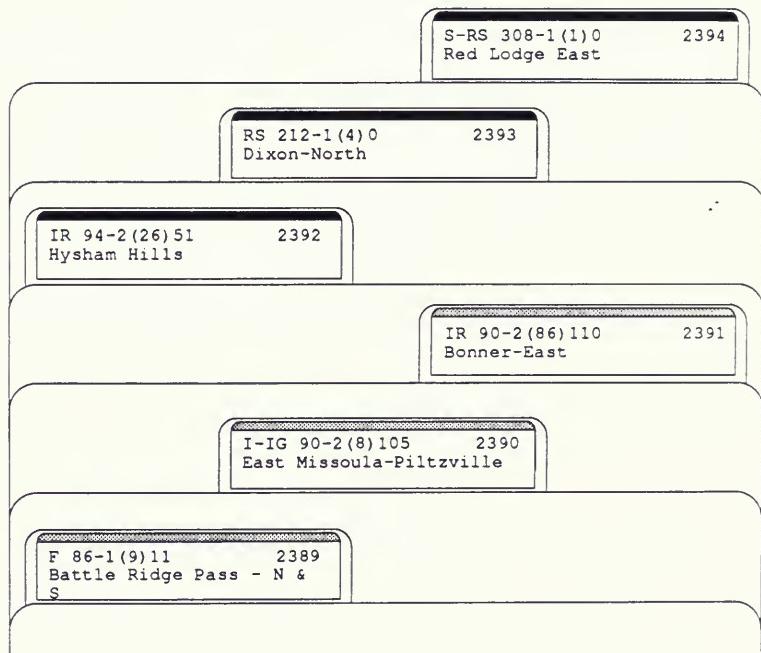
Sample:

F 86-1(9)11                    2389  
Battle Ridge Pass - N & S

6. Stagger folder tabs in the drawer for easy readability.

Each office orders its own project file folders.

**Vertical (Traditional) Filing System Layout  
for a Highway project-related Office**



---

### **Accounting-related Offices:**

1. Use adhesive labels. Offices may want to establish a color-coded labeling system for their vertical files.
2. Type all labels.
3. Type the four-digit uniform project number, plus the agreement number, on the first line of the label. The agreement number is always the same as the one used for the alpha-numeric project ID, but is extended to three digits.
4. Type the alpha-numeric project identification on the first line, but towards the right side of the label.

Sample:

2389-009	F 86-1(9)11
----------	-------------

5. Type the project location/description on the second line of the label.

Sample:

2389-009	F 86-1(9)11
Battle Ridge Pass - N & S	

6. Stagger the folder tabs in the drawer for easy readability.

Each office orders its own project file folders.

**Vertical (Traditional) Layout for an Accounting-related Office**

2394-001 S-RS 308-1(1)0  
Red Lodge East

2393-004 RS 212-1(4)0  
Dixon-North

2392-026 IR 94-2(26)51  
Hysham Hills

2391-086 IR 90-2(86)110  
Bonner-East

2390-008 I-IG 90-2(8)105  
East Missoula-Piltzville

2389-009 F 86-1(9)11  
Battle Ridge Pass - N & S

## **Labels for the Lateral Filing System**

*There are two types of labels on each folder in the lateral filing system:*

1. a color-bar label is placed on the top of the folder at the extreme right side; and
2. the numeric numbers are placed along the end tab of the folder.

### **Highway project-related Offices:**

For the label at the top of the folder:

1. Use color-bar self-adhesive labels. The color-bar label is the same color as the first number on the end tab of the file folder.
2. Type the labels.
3. Type the alpha-numeric project identification on the first line of the label.
4. Type the four-digit uniform project number on the first line, but on the extreme right side of the label. It isn't necessary to add the agreement number to the uniform project number. The agreement number is always the same as the one used for the alpha-numeric project ID.

Sample:

F 86-1(9)11	2389
-------------	------

5. Type the project location/description on the second line of the label.

Sample:

F 86-1(9)11	2389
Battle Ridge Pass - N & S	

---

For the numbers on the end tab of the folder:

The numbers that are placed on the end tab of the folder are taken from the numeric portion of the alpha-numeric project identification:

1. the **route** number is used;
2. the number representing the **county** where the project starts on the route is used; and
3. the **milepost** number where the project begins on the route is used.

For the sample project, F 86-l(9)11, the numbers placed on the end tab are:

0

8

6

1

0

1

1

The above numbers represent the following:

- 0 Represents the highway route where this project is located.  
8  
6
- 1 Represents the county where this project starts on this highway route. This project starts in the first county; thus, the 1.
- 0 Represents the milepost where the project begins on this highway route.  
1  
1

When placing the numeric labels on the end tabs of the folders, it's important to follow these steps:

1. Allow the top three spaces on the end tab for the route number. If the route is only two digits, add a zero above the first number of the two-digit number.
2. Do the milepost numbers next. These numbers go at the bottom of the end tab. Always allow the bottom three spaces on the end tab for the milepost numbers. If the milepost number is only one digit, add two zeros above it. If the milepost number is two digits, add a zero above the first number of the two-digit number.
3. Place the county number in the middle of the end tab. A one-digit number will always be used for the county. Use a '0' to represent county number 10. NOTE: There are no other two-digit county numbers besides 10.

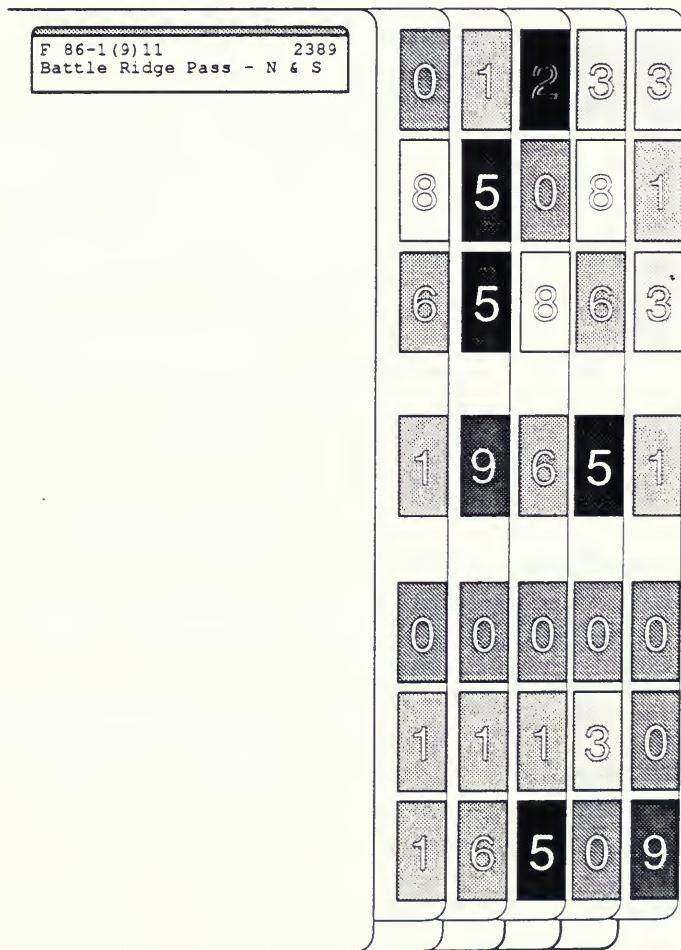
*It's important to have the county number appear at the same place on each file folder. That's why three spaces are allowed for the route number and three spaces are allowed for the milepost number. This spacing is important when the folders are placed on the file shelf.*

Be consistent about placing the numeric labels in the correct locations on the end tab. If the colored labels aren't placed in the same location on all folders, the color sequence that appears on the file shelf will not turn out correctly and the file folders will appear to be staggered.

Colors make file retrieval much faster and easier. When a file folder is filed incorrectly, the colors should alert the file clerk that the folder has been misfiled.

An example of a lateral file layout for a highway project-related office is on the next page.

**Lateral Filing System Layout  
for a Highway project-related Office**



### **Accounting-related Offices:**

For the label at the top of the folder:

1. Use color-bar self-adhesive labels. The color-bar label is the same color as the first number on the end tab of the file folder.
2. Type the labels.
3. Type the four-digit uniform project number, plus the agreement number, on the first line. The agreement number is always the same as the one used for the alpha-numeric project ID, but extended to three digits.
4. Type the alpha-numeric project identification on the first line of the label, but towards the right side of the label.

Sample:

2389-009	F 86-1(9)11
----------	-------------

5. Type the project location/description on the second line of the label.

Sample:

2389-009	F 86-1(9)11
Battle Ridge Pass - N & S	

For the numbers on the end tab of the folder:

The numbers that are placed on the end tab of the folder are the four-digit uniform project number, plus the agreement number.

---

For the sample project, 2389-009 F 86-l(9)11, the numbers placed on the end tab are:

2  
3  
8  
9

0  
0  
9

The above numbers represent the following:

2 Represents the four-digit project number.

3  
8  
9

0 Represents the agreement number.

0  
9

When placing the numeric labels on the end tabs of the folders, it's important to follow these steps:

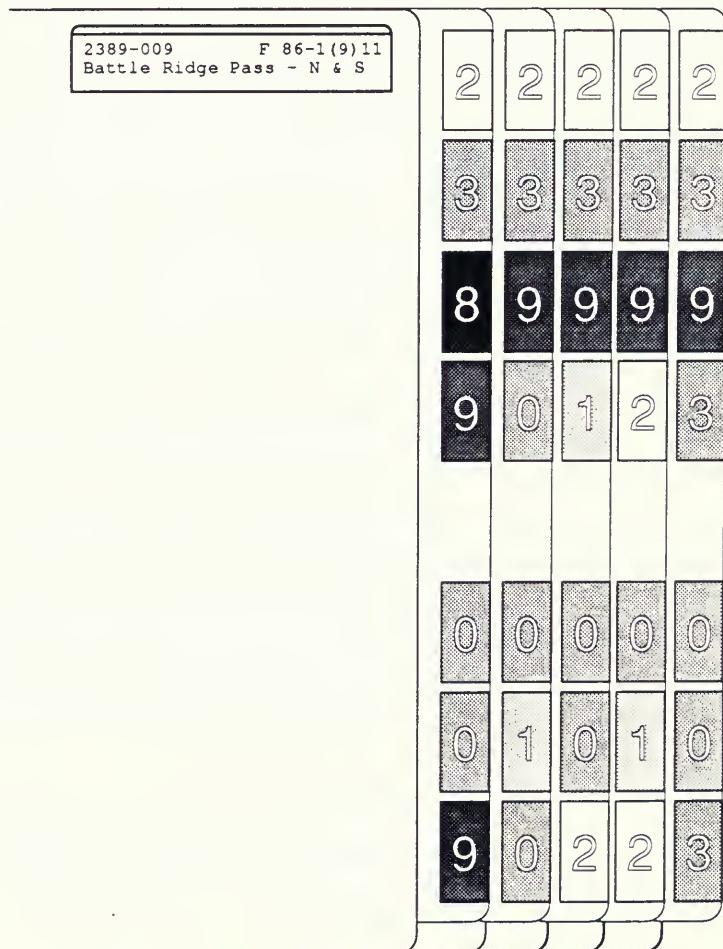
1. Allow the top four spaces on the end tab for the four-digit project number.
2. Allow one blank space between the last digit of the four-digit project number and the agreement number.
3. Allow three spaces for the agreement number. If the agreement number is only one digit, add two zeroes above it. If the agreement number is two digits, add one zero above the first number of the two-digit number.

It's important to be consistent about placing the numeric labels in the correct locations on the end tab. If the colored labels aren't placed in the same location on all folders, the color sequence that appears on the file shelf will not turn out correctly and the file folders will appear to be staggered.

Colors make file retrieval faster and easier. When a file folder is filed incorrectly, the colors should alert the file clerk that the folder has been misfiled.

An example of a lateral file system for an accounting-related office follows:

#### Lateral Filing System Layout for an Accounting-related Office



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Instructions for Preparing Alpha-numeric  
Four-digit Highway Project Folders



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## **Alpha-numeric four-digit highway project numbers:**

There are some alpha-numeric four-digit highway project IDs, e.g., bridge inspection projects, safety projects. Instructions for preparing labels for the alpha-numeric four-digit project numbers follow.

### **Labels for the Vertical (Traditional) Filing System for the Alpha-numeric Four-digit Projects**

#### **Highway project-related Offices:**

1. Use adhesive labels. Offices may want to establish a color-coded labeling system for their vertical files.
2. Type all labels.
3. Type the alpha-numeric project identification on the first line of the label.
4. Type the four-digit uniform project number on the first line, but on the extreme right side of the label. It isn't necessary to add the agreement number to the uniform project number. The agreement number is always the same as the one used for the alpha-numeric project ID.

Sample:

HES 4141 (47)	3295
---------------	------

5. Type the project location/description on the second line of the label.

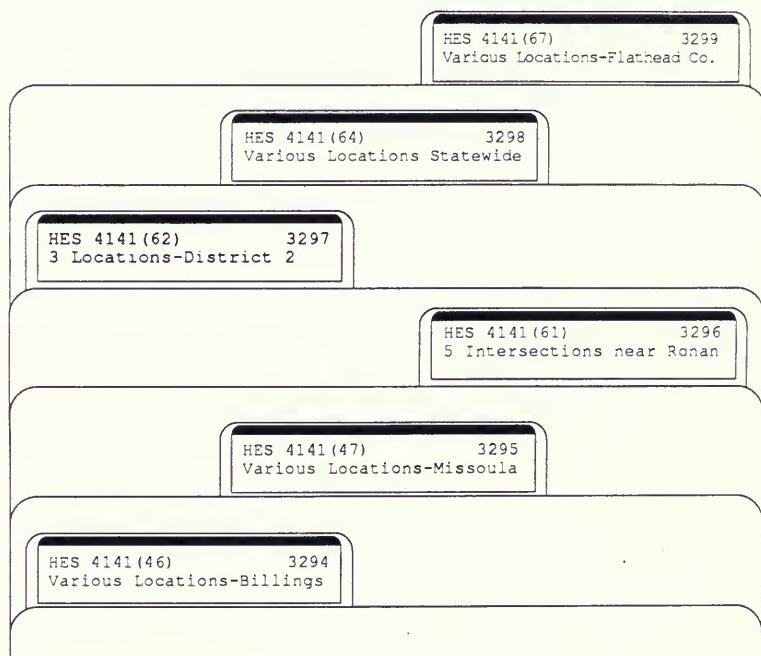
Sample:

HES 4141 (47)	3295
Various Locations - Missoula	

6. Stagger folder tabs in the drawer for easy readability.

Each office orders its own project file folders.

**Vertical (Traditional) Layout for a Highway Project-related Office  
for an Alpha-numeric Four-digit Project**



### **Accounting-related Offices:**

1. Use adhesive labels. Offices may want to establish a color-coded labeling system for their vertical files.
2. Type the labels.
3. Type the four-digit uniform project number, plus the agreement number, on the first line of the label. The agreement number is always the same as the one used for the alpha-numeric project ID, but extended to three digits.
4. Type the alpha-numeric project identification on the first line, but towards the right side of the label.

Sample:

3295-047	HES 4141(47)
----------	--------------

5. Type the project location/description on the second line of the label.

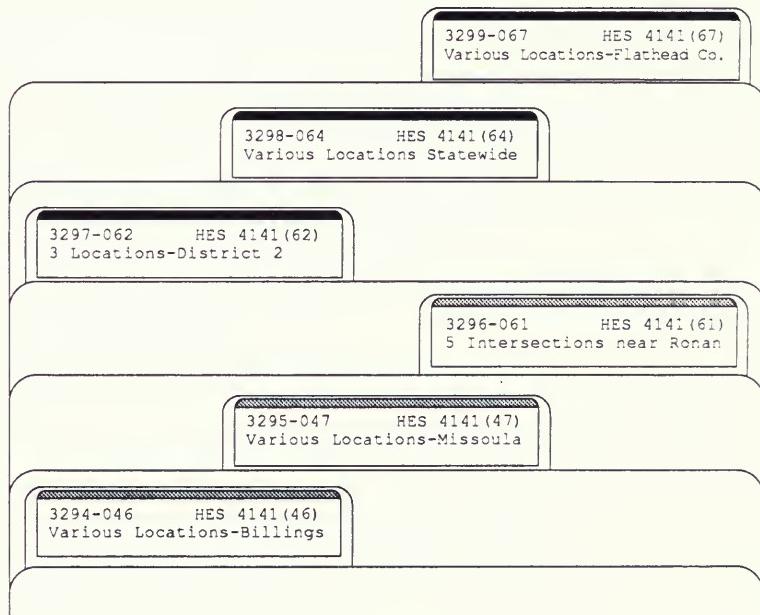
Sample:

3295-047	HES 4141(47)
Various Locations - Missoula	

6. Stagger the folder tabs in the drawer for easy readability.

Each office orders its own project file folders.

**Vertical (Traditional) Filing System Layout for an  
Accounting-related Office for an Alpha-numeric Four-digit  
Highway Project**



---

## **Labels for the Lateral Filing System for the Alpha-numeric Four-digit Projects**

*There are two types of labels for each folder in the lateral filing system:*

1. a color-bar label is placed on the top of the folder at the extreme right side; and
2. the numbers are placed along the end tab of the folder.

### **Highway project-related Offices:**

For the label at the top of the folder:

1. Use color-bar self-adhesive labels. The color-bar label is the same color as the first number on the end tab of the file folder.
2. Type the labels.
3. Type the alpha-numeric project identification on the first line of the label.
4. Type the four-digit uniform project number on the first line, but on the extreme right side of the label. It isn't necessary to add the agreement number to the uniform project number. The agreement number is always the same as the one used for the alpha-numeric project ID.

Sample:

HES 4141(47)	3295
--------------	------

5. Type the project location/description on the second line of the label.

Sample:

HES 4141(47)	3295
Various Locations - Missoula	

---

For the numbers on the end tab of the folder:

The numbers that are placed on the end tab of the folder are taken from the numeric portion of the alpha-numeric project identification:

1. using the **route** number

and

2. using the **agreement** number.

PLEASE NOTE: There is no milepost number used with the alpha-numeric four-digit projects.

For the sample project, HES 4141(47), the numbers placed on the end tab are:

4  
1  
4  
1

0  
4  
7

The above numbers represent the following:

4 Represents the type of funding and type of project,  
1 i.e., safety, bridge inspection, etc.

4  
1

0 Represents the agreement number.

4  
7

When placing the numeric labels on the end tabs of the folders, it's important to follow these steps:

1. Allow the top four spaces on the end tab for the four-digit number.

- 
- Leave one blank space between the last number of the four-digit project number and the first number of the agreement number. If the agreement number is only one digit, add two zeros above it. If the agreement number is two digits, add one zero above the first number of the two-digit number.

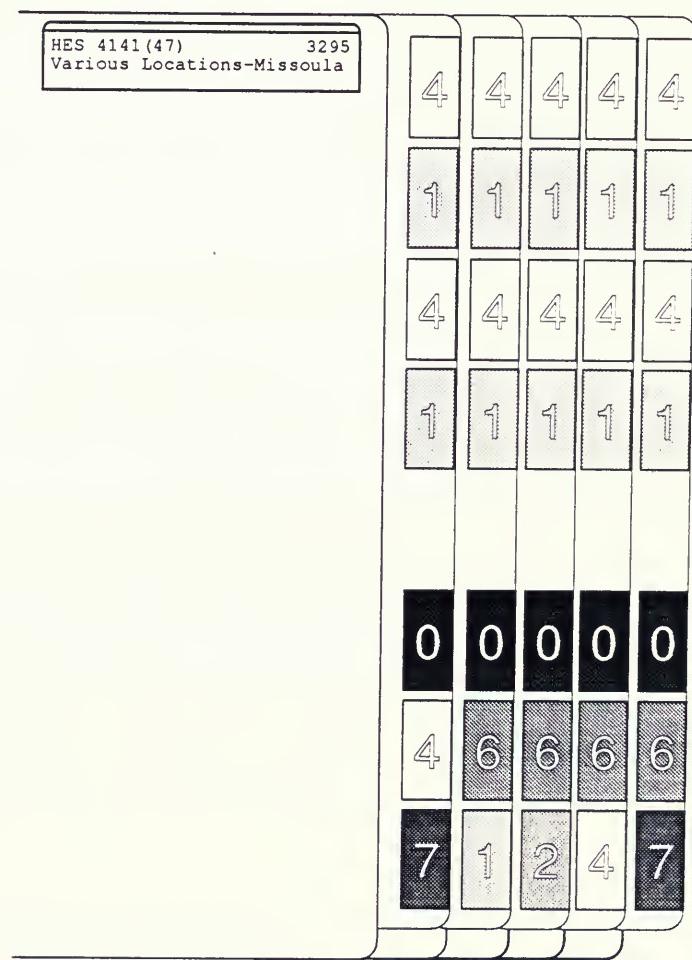
*It's important to place the agreement number at the same place on each file folder. By doing this, the agreement number should always appear in the same location. This spacing is important when the folders are placed on the file shelf.*

Be consistent about placing the numeric labels in the correct locations on the end tab. If the colored labels aren't placed in the same location on all folders, the color sequence that appears on the file shelf will not turn out correctly and the file folders will appear to be staggered.

Colors make file retrieval much faster and easier. When a file folder is filed incorrectly, the colors should alert the file clerk that the folder has been misfiled.

An example of a lateral file system layout for an alpha-numeric four-digit highway project is on the following page.

**Lateral Filing System Layout for a Highway Project-related Office for an Alpha-numeric Four-digit Project**



---

### **Accounting-related Offices:**

For the label at the top of the folder:

1. Use color-bar self-adhesive labels. The color-bar label is the same color as the first number on the end tab of the file folder.
2. Type the labels.
3. Type the four-digit uniform project number, plus the agreement number, on the first line. The agreement number is always the same as the one used for the alpha-numeric project ID, but is extended to three digits
4. Type the alpha-numeric project identification on the first line of the label, but towards the right side of the label.

Sample:

3295-047	HES 4141(47)
----------	--------------

5. Type the project location/description on the second line of the label.

Sample:

3295-047	HES 4141(47)
Various Locations - Missoula	

For the numbers on the end tab of the folder:

The numbers that are placed on the end tab of the folder are the four-digit uniform project number, plus the agreement number.

For the sample project, 3295-047 HES 4141(47), the numbers placed on the end tab are:

3  
2  
9  
5

0  
4  
7

---

The above numbers represent the following:

3 Represents the four-digit uniform project number.

2

9

5

0 Represents the agreement number.

4

7

When placing the numeric labels on the end tabs of the folders, it's important to follow these steps:

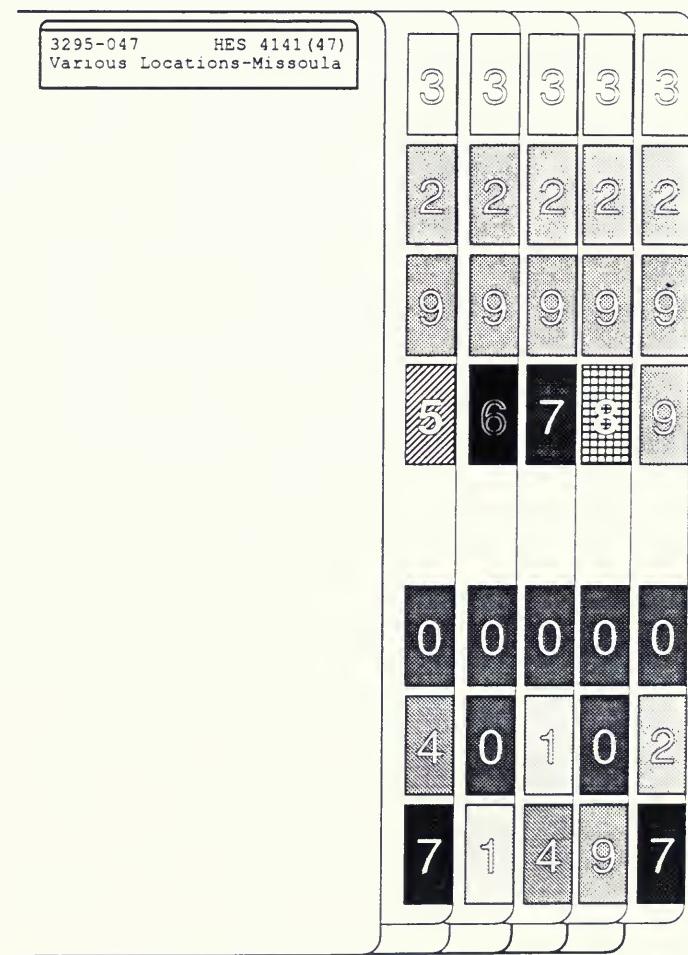
1. Allow the top four spaces on the end tab for the four-digit project number.
2. Allow one blank space between the last digit of the four-digit project number and the agreement number.
3. Allow three spaces for the agreement number. If the agreement number is only one digit, add two zeroes above it. If the agreement number is two digits, add one zero above the first number of the two-digit number.

It's important to be consistent about placing the numeric labels in the correct locations on the end tab. If the colored labels aren't placed in the same location on all folders, the color sequence that appears on the file shelf will not turn out correctly and the file folders will appear to be staggered.

Colors make file retrieval faster and easier. When a file folder is filed incorrectly, the colors should alert the file clerk that the folder has been misfiled.

An example of a lateral file system for an accounting-related office follows on the next page.

## Lateral Filing System Layout for an Accounting-related Office





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Instructions for Preparing Alpha-numeric  
Five-digit Highway Project Folders



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## **Alpha-numeric five-digit highway project numbers:**

There are alpha-numeric five-digit highway project IDs, e.g., off-road system projects. Instructions for preparing labels for the alpha-numeric five-digit project IDs follow.

### **Labels for the Vertical (Traditional) Filing System for the Alpha-numeric Five-digit Projects**

#### **Highway project-related Offices:**

1. Use adhesive labels. Offices may want to establish a color-coded labeling system for their vertical files.
2. Type the labels.
3. Type the alpha-numeric project identification on the first line of the label.
4. Type the four-digit uniform project number on the first line, but on the extreme right side of the label. It isn't necessary to include the agreement number with the uniform project number. The agreement number is always the same as the one used for the alpha-numeric project ID.

#### **Sample:**

RT 48245(1)16	7890
---------------	------

5. Type the project location/description on the second line of the label.

#### **Sample:**

RT 48245(1)16	7890
Valley Creek Bridge	

6. Stagger folder tabs in the drawer for easy readability.

Each office orders its own project file folders.

**Vertical (Traditional) Filing System Layout for a Highway  
Project-related Office for an Alpha-numeric Five-digit Project**



---

### **Accounting-related Offices:**

1. Use adhesive labels. Offices may want to establish a color-coded labeling system for their vertical files.
2. Type the labels.
3. Type the four-digit uniform project number, plus the agreement number, on the first line of the label. The agreement number is always the same as the one used for the alpha-numeric project ID, but is extended to three digits. Although the project ID is a five-digit number, accounting-related offices **always** use the four-digit uniform project number.
4. Type the alpha-numeric project identification on the first line, but towards the right side of the label.

Sample:

7890-001	RT 48245(1)16
----------	---------------

5. Type the file location/description on the second line of the label.

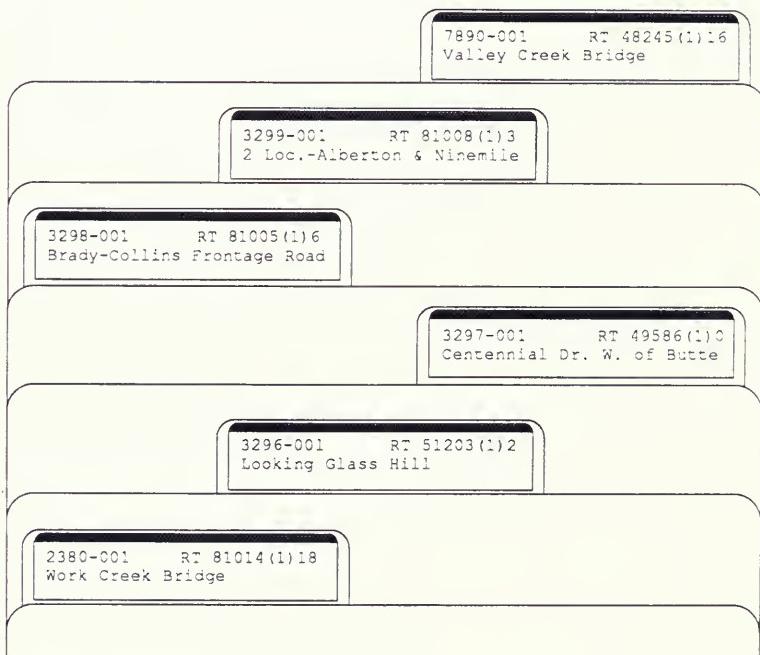
Sample:

7890-001	RT 48245(1)16
Valley Creek Bridge	

6. Stagger the folder tabs in the drawer for easy readability.

Each office orders its own project file folders.

**Vertical (Traditional) Filing System Layout for an Accounting-related Office for a Five-digit Project**



## **Labels for the Lateral Filing System for the Five-digit Projects**

*There are two types of labels for each folder in the lateral filing system:*

1. a color-bar label is placed on the top of the folder at the extreme right side; and
2. the numbers are placed along the end tab of the folder.

### **Highway project-related Offices:**

For the label at the top of the folder:

1. Use color-bar self-adhesive labels. The color-bar label is the same color as the first number on the end tab of the file folder.
2. Type the labels.
3. Type the alpha-numeric project identification on the first line of the label.
4. Type the four-digit uniform project number on the first line, but on the extreme right side of the label. It isn't necessary to include the agreement number with the uniform project number. The agreement number is always the same as the one used for the alpha-numeric project ID.

Sample:

RT 48245(1)16	7890
---------------	------

5. Type the project location/description on the second line of the label.

Sample:

RT 48245(1)16	7890
Valley Creek Bridge	

For the numbers on the end tab of the folder:

The numbers that are placed on the end tab of the folder are taken from the numeric portion of the alpha-numeric project identification:

1. using the **route** number
2. using the **agreement** number, and
3. using the **milepost** number.

For the sample project, RT 48245(l)16 7890, the numbers placed on the end tab are:

4  
8  
2  
4  
5  
1  
1  
6

The above numbers represent the following:

4 This five-digit number represents the maintenance-  
8 assigned route number for this off-system road.

2  
4  
5

1 Represents the agreement number.

1 Represents the milepost where the project begins on  
6 this off-system route.

When placing the numeric labels on the end tabs of the folders, it's important to follow these steps:

1. Allow the top five spaces on the end tab for the five-digit number.
2. Allow one space for the agreement number. It will be years before the agreement number will be more than one digit.

---

*It's important to place the agreement number at the same place on each file folder. By doing this, the agreement number should always appear in the same location. This spacing is important when the folders are placed on the file shelf.*

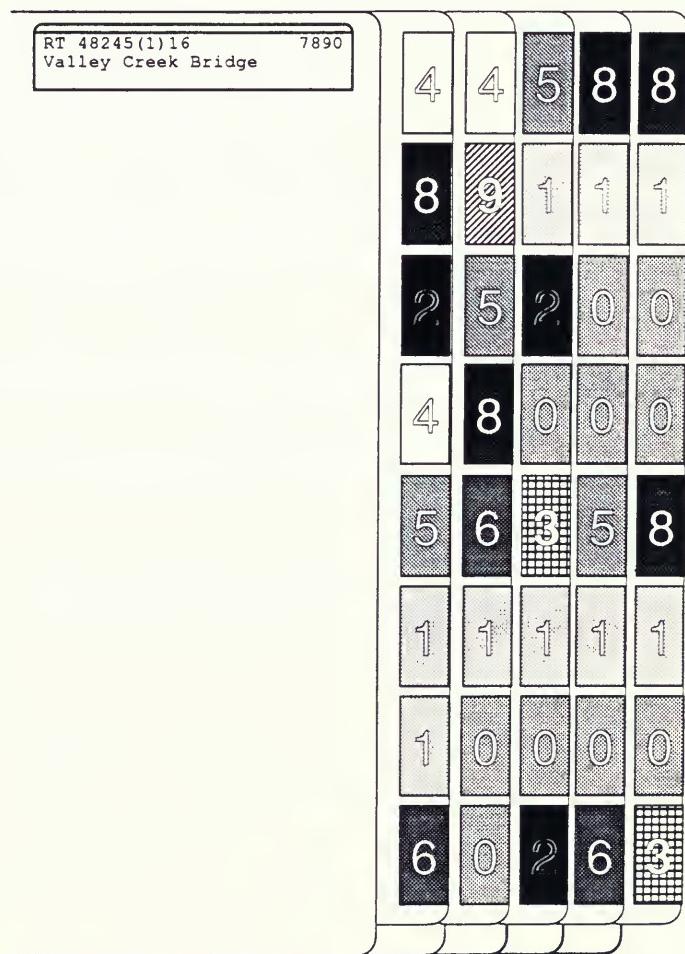
3. The milepost numbers go at the bottom of the end tab. Always allow the bottom two spaces on the end tab for the milepost numbers. If the milepost number is only one digit, add a zero above it. The milepost number will never be more than two digits for a five-digit off-system project.

Be consistent about placing the numeric labels in the correct locations on the end tab. If the colored labels aren't placed in the same location on all folders, the color sequence that appears on the file shelf will not turn out correctly and the file folders will appear to be staggered.

Colors make file retrieval much faster and easier. When a file folder is filed incorrectly, the colors should alert the file clerk that the folder has been misfiled.

An example of a lateral file system layout for a five-digit highway project follows on the next page.

**Lateral Filing System Layout for a Highway project-related Office for an Alpha-numeric Five-digit Project.**



**Accounting-related Offices:**

For the label at the top of the folder:

1. Use color-bar self-adhesive labels. The color-bar label is the same color as the first number on the end tab of the file folder.
2. Type the labels.
3. Type the four-digit uniform project number, plus the agreement number, on the first line. The agreement number is always the same as the one used for the alpha-numeric project ID.
4. Type the alpha-numeric project identification on the first line of the label, but towards the right side of the label.

Sample:

7890-001	RT 48245(1)16
----------	---------------

5. Type the project location/description on the second line of the label.

Sample:

7890-001	RT 48245(1)16
Valley Creek Bridge	

For the numbers on the end tab of the folder:

The numbers that are placed on the end tab of the folder are the four-digit uniform project numbers, plus the agreement number.

For the sample project, 7890-001 RT 48245(l)16, the numbers placed on the end tab are:

7

8

9

0

0

0

1

---

The above numbers represent the following:

7 Represents the four-digit project number.

8

9

0

0 Represents the agreement number.

0

1

When placing the numeric labels on the end tabs of the folders, it's important to follow these steps:

1. Allow the top four spaces on the end tab for the four-digit project number.
2. Allow one blank space between the last digit of the four-digit project number and the agreement number.
3. Allow three spaces for the agreement number. If the agreement number is only one digit, add two zeroes above the one-digit number. If the agreement number is two digits, add one zero above the first number of the two-digit number.

*It's important to be consistent about placing the numeric labels in the correct locations on the end tab. If the colored labels aren't placed in the same location on all folders, the color sequence that appears on the file shelf will not turn out correctly and the file folders will appear to be staggered.*

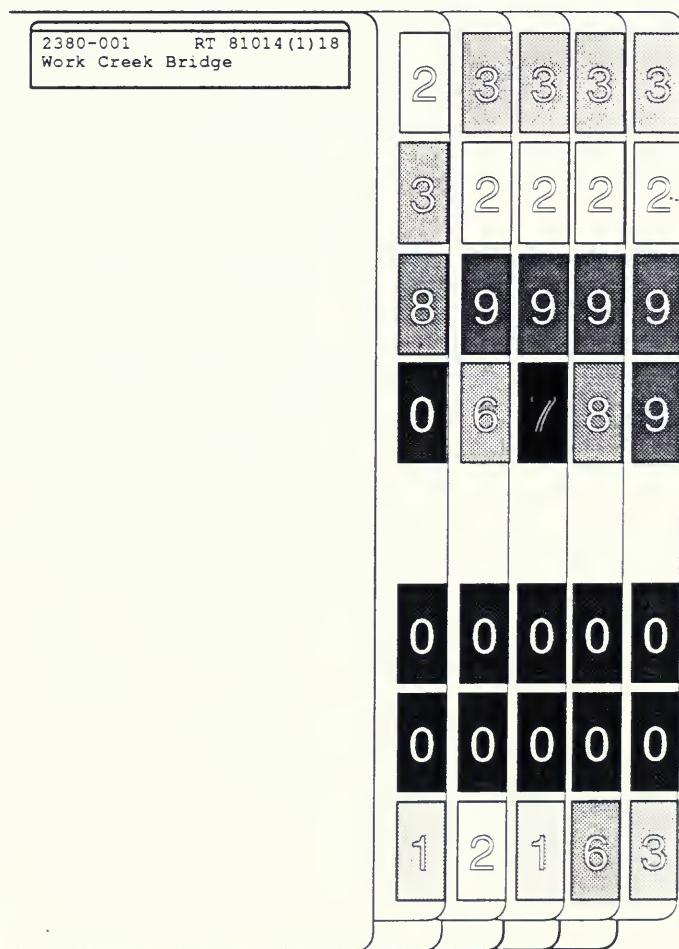
Colors make file retrieval faster and easier. When a file folder is filed incorrectly, the colors should alert the file clerk that the folder has been misfiled.

An example of a lateral file system for an accounting-related office follows on the next page.

---

## **Lateral Filing System Layout for an Accounting-related Office for an Alpha-numeric Five-digit Highway Project**

**NOTE:** Although the project ID is a five-digit number, accounting-related offices **always** use the uniform project number, which is only four digits.





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## Instructions for Preparing Alpha-numeric Two-digit Highway Project Folders



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## **Alpha-numeric two-digit highway project numbers:**

There are some alpha-numeric two-digit highway project IDs, e.g., off-system local roads. Instructions for preparing labels for the alpha-numeric two-digit project numbers follow.

### **Labels for the Vertical (Traditional) Filing System for the Alpha-numeric Two-digit Projects**

#### **Highway project-related Offices:**

1. Use adhesive labels. Offices may want to establish a color-coded labeling system for their vertical files.
2. Type all labels.
3. Type the alpha-numeric project identification on the first line of the label.
4. Type the four-digit uniform project number on the first line, but on the extreme right side of the label. It isn't necessary to add the agreement number to the uniform project number. The agreement number is always the same as the one used for the alpha-numeric project ID.

Sample:

RRP 20(11)	2046
------------	------

5. Type the project location/description on the second line of the label.

Sample:

RRP 20(11)	2046
County Road - Bearmouth	

6. Stagger folder tabs in the drawer for easy readability.

Each office orders its own project file folders.

**Vertical (Traditional) Layout for a Highway Project-related  
Office for an Alpha-numeric Two-digit Project**

RRP 48(13) Columbus - Third Street	2055
RRP 39(15) N. of Gold Creek	2050
RRP 32(12) Missoula - Taylor St.	2052
RRP 20(12) S. of Bearmouth Int.	2051
RRP 20(11) County Road - Bearmouth	2046
RRP 16(13) Trident	2054

---

### **Accounting-related Offices:**

1. Use adhesive labels. Offices may want to establish a color-coded labeling system for their vertical files.
2. Type the labels.
3. Type the four-digit uniform project number, plus the agreement number, on the first line of the label. The agreement number is always the same as the one used for the alpha-numeric project ID, but extended to three digits.
4. Type the alpha-numeric project identification on the first line, but towards the right side of the label.

Sample:

2046-011	RRP 20(11)
----------	------------

5. Type the project location/description on the second line of the label.

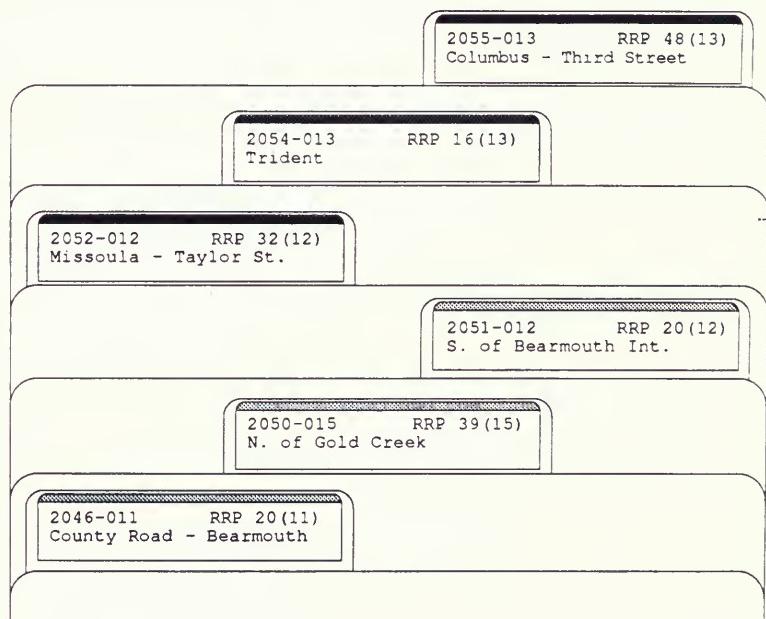
Sample:

2046-011	RRP 20(11)
County Road - Bearmouth	

6. Stagger the folder tabs in the drawer for easy readability.

Each office orders its own project file folders.

**Vertical (Traditional) Filing System Layout for an  
Accounting-related Office for an Alpha-numeric Two-digit  
Highway Project**



---

## **Labels for the Lateral Filing System for the Alpha-numeric Two-digit Projects**

*There are two types of labels for each folder in the lateral filing system:*

1. a color-bar label is placed on the top of the folder at the extreme right side; and
2. the numbers are placed along the end tab of the folder.

### **Highway project-related Offices:**

For the label at the top of the folder:

1. Use color-bar self-adhesive labels. The color-bar label is the same color as the first number on the end tab of the file folder.
2. Type the labels.
3. Type the alpha-numeric project identification on the first line of the label.
4. Type the four-digit uniform project number on the first line, but on the extreme right side of the label. It isn't necessary to add the agreement number to the uniform project number. The agreement number is always the same as the one used for the alpha-numeric project ID.

Sample:

RRP 20(11)	2046
------------	------

5. Type the project location/description on the second line of the label.

Sample:

RRP 20(11)	2046
County Road - Bearmouth	

---

For the numbers on the end tab of the folder:

The numbers that are placed on the end tab of the folder are taken from the numeric portion of the alpha-numeric project identification:

1. using the **route** number

and

2. using the **agreement** number.

PLEASE NOTE: There is no milepost number used with the alpha-numeric two-digit projects.

For the sample project, RRP 20(11), the numbers placed on the end tab are:

0  
0  
2  
0

0  
1  
1

The above numbers represent the following:

0 Represents the type of funding and type of project,  
0 i.e., off-system local roads.  
2  
0

0 Represents the agreement number.  
1  
1

When placing the numeric labels on the end tabs of the folders, it's important to follow these steps:

1. Allow the top four spaces on the end tab for the two-digit number, adding two zeros above the first number of the two-digit number. These two-digit projects will always be extended to four spaces on the end tab.

- 
- Leave one blank space between the last number of the two-digit project number and the first number of the agreement number. If the agreement number is only one digit, add two zeros above it. If the agreement number is two digits, add one zero above the first number of the two-digit number.

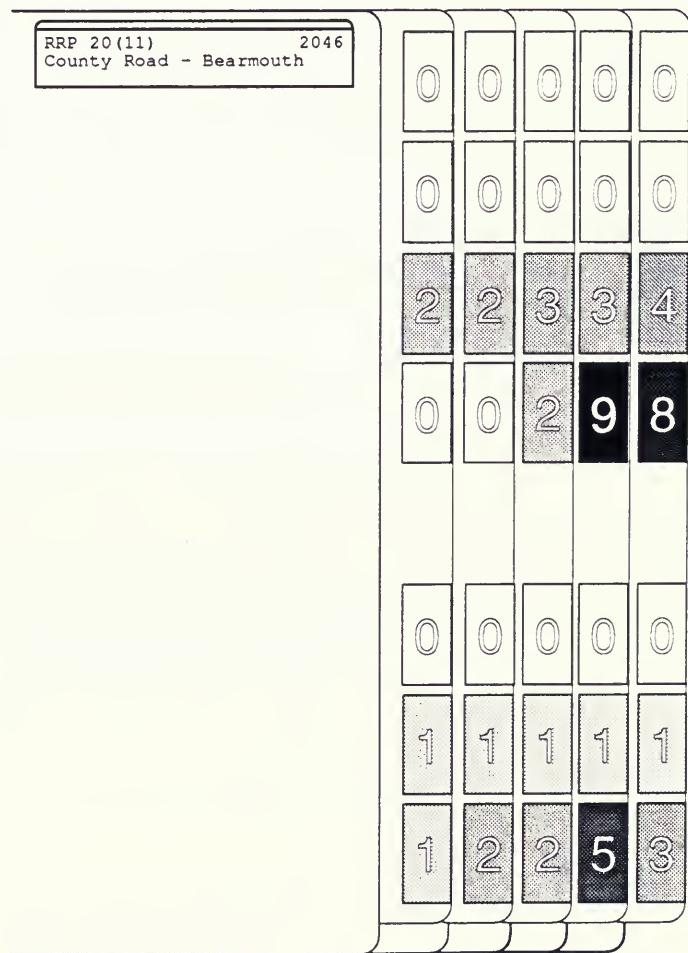
*It's important to place the agreement number at the same place on each file folder. By doing this, the agreement number should always appear in the same location. This spacing is important when the folders are placed on the file shelf.*

Be consistent about placing the numeric labels in the correct locations on the end tab. If the colored labels aren't placed in the same location on all folders, the color sequence that appears on the file shelf will not turn out correctly and the file folders will appear to be staggered.

Colors make file retrieval much faster and easier. When a file folder is filed incorrectly, the colors should alert the file clerk that the folder has been misfiled.

An example of a lateral file system layout for an alpha-numeric two-digit highway project is on the following page.

**Lateral Filing System Layout for a Highway  
Project-related Office for an Alpha-numeric Two-digit Project**



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### **Accounting-related Offices:**

For the label at the top of the folder:

1. Use color-bar self-adhesive labels. The color-bar label is the same color as the first number on the end tab of the file folder.
2. Type the labels.
3. Type the four-digit uniform project number, plus the agreement number, on the first line. The agreement number is always the same as the one used for the alpha-numeric project ID, but is extended to three digits
4. Type the alpha-numeric project identification on the first line of the label, but towards the right side of the label.

Sample:

2046-011	RRP 20(11)
----------	------------

5. Type the project location/description on the second line of the label.

Sample:

2046-011	RRP 20(11)
County Road - Bearmouth	

For the numbers on the end tab of the folder:

The numbers that are placed on the end tab of the folder are the four-digit uniform project number, plus the agreement number.

For the sample project, 2046-011 RRP 20(11), the numbers placed on the end tab are:

2  
0  
4  
6

0  
1  
1

---

The above numbers represent the following:

2 Represents the four-digit uniform project number.

0

4

6

0 Represents the agreement number.

1

1

When placing the numeric labels on the end tabs of the folders, it's important to follow these steps:

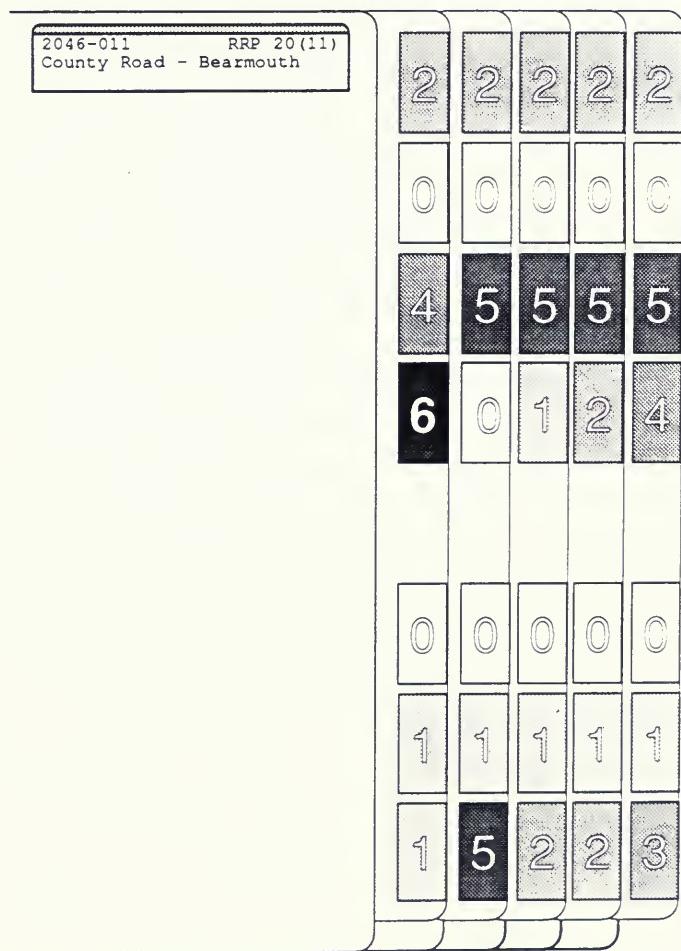
1. Allow the top four spaces on the end tab for the four-digit project number.
2. Allow one blank space between the last digit of the four-digit project number and the agreement number.
3. Allow three spaces for the agreement number. If the agreement number is only one digit, add two zeroes above it. If the agreement number is two digits, add one zero above the first number of the two-digit number.

It's important to be consistent about placing the numeric labels in the correct locations on the end tab. If the colored labels aren't placed in the same location on all folders, the color sequence that appears on the file shelf will not turn out correctly and the file folders will appear to be staggered.

Colors make file retrieval faster and easier. When a file folder is filed incorrectly, the colors should alert the file clerk that the folder has been misfiled.

An example of a lateral file system for an accounting-related office follows on the next page.

**Lateral Filing System Layout for an Accounting-related Office  
for an Alpha-numeric Two-digit Project**





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## Uniform Filing Format for Project Manager Files



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## **Project Manager Files**

The project manager, or other responsible person placed in charge of a project, is required to maintain up-to-date files for all project activities.

A uniform filing format for project manager files has been adopted for this purpose. This system will be used by all project managers and the respective crews.

Vertical or lateral file cabinets can be used. However, vertical cabinets are preferred because the majority of the field offices are located near construction sites. Enclosed cabinets keep the documents cleaner.

Instructions for lateral file cabinets aren't included. They'll be written and distributed if there's a need for them.

All alpha-numeric project identification (ID) numbers must be cross-referenced with the four-digit uniform project number.

There are 12 file titles in the filing format for project managers. Each title requires a separate file folder. Projects will vary; some projects will require all 12, other projects may not.

The folder numbers, titles, and contents for the uniform filing format are on the next page. Following that listing are the details for preparing the labels.

---

## **Uniform Filing Format for Project Managers**

<b>Folder No.</b>	<b>Folder Title and Contents</b>
1.	<b>Project Correspondence</b> District Headquarters Contractor Subcontractor Federal Highway
2.	<b>Contract Information</b> Contract and Bond Notice to Proceed Time Assessments Preconstruction Conference Insurance Information Liquidated Damages Change Orders Extra Work Orders Force Account Records Supplemental Agreements Subcontractor Approvals
3.	<b>Inspection and Acceptance Data</b> Progress Inspections State Final Inspection Federal Final Inspection Certificate of Completion
4.	<b>Progress Estimates</b> Progress Semifinal Final Detail Estimates Estimates (by number) and material in storage Fuel escalations

<b>Folder No.</b>	<b>Folder Title and Contents</b>
5.	<b>Permits and Plans</b> Pit Reclamation Plan Erosion Control Plan Air Quality Permit Archaeological Clearance Memo of Agreement & Authorization Traffic Control Plan Water Quality Permit
6.	<b>Shop Drawings</b> Structural Steel Prestress Beams Detour Bridge Work Bridge Railroad Shoring and Falsework Treated Timber Salvaged Material Signs Foundation Logs
7.	<b>E.E.O. Labor and Compliance</b> Payroll Transmittals & Affidavits Labor Reviews/Spot Checks Trainee Program Complaints/Claim Form
8.	<b>Real Estate/Utility (one folder/utility or owner)</b> Agreements Borrow Agreements and Permits Borrow Pit depletion Reports Property Corner Data Meetings
9.	<b>Preconstruction Test Records</b> Soils Tests Aggregate Tests (Pit Reports)
10.	<b>Safety and Accident Data</b>
11.	<b>Construction Management Data</b>

<b>Folder No.</b>	<b>Folder Title and Contents</b>
12.	<p><b>Materials</b></p> <ul style="list-style-type: none"> <li>A. Mix Designs - Bituminous and Concrete</li> <li>B. Soil Density <ul style="list-style-type: none"> <li>- Original ground</li> <li>- Embankment</li> <li>- Finished cut</li> <li>- Pipe bed</li> <li>- Pipe backfill</li> <li>- Base course</li> <li>- Top surfacing</li> </ul> </li> <li>C. Aggregate Tests <ul style="list-style-type: none"> <li>- Base course (QA)</li> <li>- Top surfacing (QA)</li> <li>- Cover material (QA)</li> <li>- Riprap</li> <li>- Miscellaneous</li> </ul> </li> <li>D. Plant Mix Data <ul style="list-style-type: none"> <li>- Plant reports &amp; marshalls (QA)</li> <li>- Aggregate tests (QA)</li> <li>- Density data (QA)</li> </ul> </li> <li>E. Bituminous Material <ul style="list-style-type: none"> <li>- Prime</li> <li>- Tack</li> <li>- Asphalt Cement (QA)</li> <li>- Seal</li> </ul> </li> <li>F. Portland Cement Concrete <ul style="list-style-type: none"> <li>- Cement Certificates</li> <li>- Aggregate Tests</li> <li>- Truck Delivery Tickets</li> <li>- Batch Tickets (PCCP)</li> <li>- Concrete Beam or Cylinder Test Reports</li> <li>- Cure Temperature Records</li> </ul> </li> <li>G. Reinforcing Steel</li> <li>H. Weighing Equipment Data</li> <li>I. Guardrail</li> <li>J. Fencing</li> <li>K. Culvert</li> <li>L. Pavement Markings</li> <li>M. Signing</li> <li>N. Seeding &amp; Fertilizing</li> <li>O. Concrete - Miscellaneous</li> </ul>

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<b>Folder No.</b>	<b>Folder Title and Contents</b>
-----------------------	----------------------------------

- |     |   |
|-----|---|
| 12. | <b>Materials (continued)</b><br>P. Structure Steel<br>Q. Electrical<br>R. Construction Fabric<br>S. Piling - Wood & Steel |
|-----|---|

**Field Diaries/Grade and Alignment Data**

- Quantity Notes
- C8s
- Transit Notes
- Level Notes
- Bench Marks/Grades
- Bluetop Notes
- Pile Notes
- Contractor Bridge Survey Notes

## **For Vertical (Traditional) File Cabinets**

A file guide (not a file folder) is placed in front of a project's folders. This guide's label includes the project ID, the four-digit uniform project number and the project location/description. These guides are left-cut only and may be obtained from the district or area offices (Central Stores 7308-2300).

The project manager should establish a color-coded labeling system for the file guides and file folders for the projects he/she manages. The color-bar label on the guide is the same color used for all the file folders for that particular project. Color-bar labels may be obtained from the district or area offices (Central Stores 9402-0100—9402-0111).

### **Labels for the Vertical (Traditional) Filing System**

1. Use adhesive color-bar labels. The same color is used throughout the project for the file guide and the file folders. Start a new color scheme for each project.
2. Write or type the alpha-numeric project identification on the first line of the label for the file guide.
3. Write or type the four-digit uniform project number on the first line, but on the extreme right side of the guide's label. It isn't necessary to include the agreement number with the uniform project number. The agreement number is always the same as the one used for the alpha-numeric project ID.

Sample:

F 86-1(9)11	2389
-------------	------

4. Write or type the project location/description on the second line of the guide's label.

Sample:

F 86-1(9)11	2389
Battle Ridge Pass - N & S	

- 
5. Use the same colored adhesive color-bar labels for the folders. See the Uniform Filing Format listing for the file folder numbers and folder titles. The labels for the file titles describe the folders' contents. The file folders follow the guide in the drawer.
  6. Write or type the folder number at the extreme left side of the label, followed by the alpha numeric project ID, then the uniform project number on the extreme right. Write or type the title of the folder on the second line.

Sample:

1.	F 86-1(9)11	2389
	Project	
	Correspondence	

Another  
Sample:

12.	F 86-1(9)11	2389
	Materials	

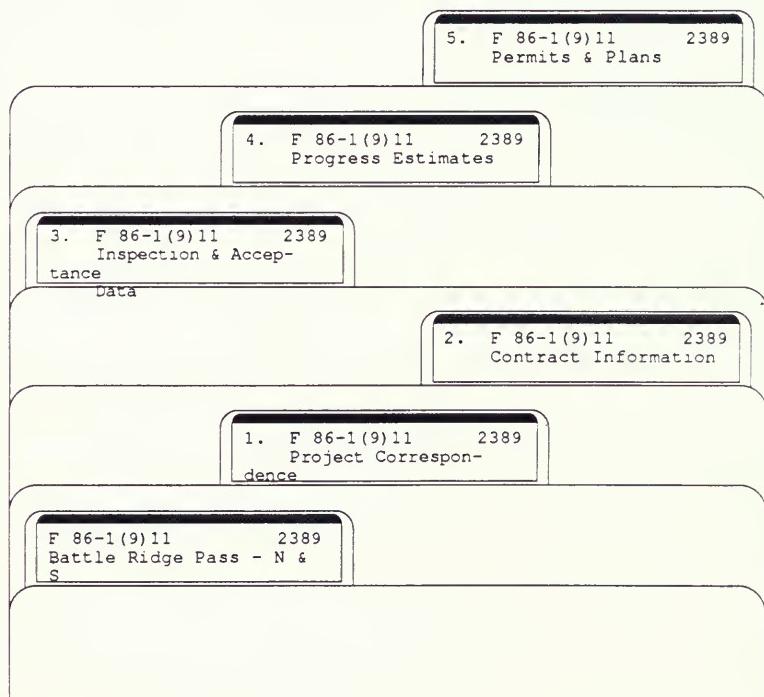
Another  
Sample:

12.	F 86-1(9)11	2389
A.	Mix Designs	

7. Stagger folder tabs in the drawer for easy readability.

An example of how the file guide and file folders will look in the cabinet drawer is on the next page.

## Vertical (Traditional) Filing System Layout



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## Purging Procedures for District/Area Laboratory Files



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## **Procedures for Purging District/Area Laboratory Files**

The District Materials Supervisors are responsible for maintaining the district and area laboratory files for highway projects.

Following the steps below allow the district and area laboratories to eliminate unnecessary documents when the retention period has been met:

1. The Records Center sends a monthly request for the highway project files that have met their retention.
2. When the monthly requests for the highway project files are received, the labs pull those files for purging.
3. Only the documents listed below are retained:

soil surveys  
gravel tests/information  
plant mix designs  
Marshalls and monitors

If additional information is needed for an efficient operation, those records can be retained until no longer useful. **Dispose of unnecessary documents.**

4. After the files are purged in the district and area labs, the District Materials Supervisors sign, date, and return the monthly request for highway projects. The signed document is due in the Records Center the 15th of the following month (e.g., listing mailed April 15 is due May 15).

It's important to ensure that during the active phases of a project, the green-stamped documents reach the Materials Bureau files. Eventually, only the green-stamped documents will be microfilmed. Valuable information will be lost through disposal if the green-stamped document isn't in the Materials Bureau's master project file.

The Records Center provides record retrieval requests. Copies of the microfilmed documents of the Materials Bureau are available upon request. Requests can be made by phoning, writing, or using the computer. Be specific. Copies will be mailed or sent by FAX to the field offices; depending on the urgency.



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## Chapter III—Out-Card Procedures

### **Control**

*File tracking and return... .*

Tracking records and recording activity is essential to the total records management system. The method includes procedures for removing records from the file cabinet, for charging out the files (using an out card), and for follow-up and return of the records.

### **Charge Out**

*Out card replaces file folder... .*

An out card replaces a file folder when it's removed from the files. The name of the person removing the file, the file name and the date taken have to be written on the out card. A supply of out cards should be placed near the files so they are accessible to the users.

The out card is removed from the files upon return of the file folder. A line is drawn through the notation on the out card and the out card is ready to be reused.

### **Follow-up**

*Overdue records... .*

Folders aren't always returned promptly and follow-up is often necessary to maintain complete files. It's reasonable to allow records to be charged out for a week to ten days; however, any period extending beyond two weeks requires follow-up.

When filing is done, the individual doing this work should check for overdue dates on the out cards. Records still outstanding require follow-up, which can be a telephone call to the person who removed the material or the Request for Return of Records form (Form OS 2) can be sent. The longer the time that files are allowed the remain out, the more difficult they are to recover.

An example of the completed fill-in form and the instructions for using it are on the following page.

## Request for Return of Records

Request for return of records			
To: (1) Jane Matsumi	Office Name: (2) Environmental Section		
<i>Please return the file listed below or indicate a new return date and return this form.</i>			
File Name: (3) F-FLH 37-1(14)19 U-2 Busby-East & West Unit 2			
Charge-out Date: (4) 2-21-91	Expected Return Date: (5) 2-28-91	New Return Date: (6)	Name of Current File Holder, if different: (7)
Name and Office of Sender: (8) Trudy Masters			Current Date: (9) 3-8-91

Form OS 2, 8/91

### Instructions:

- 1) Name of person who removed the file.
  - 2) Person's office name.
  - 3) File name.
  - 4) Date file was taken.
  - 5) Expected return date for file.
  - 6) New return date (if applicable).
  - 7) Name of current file holder if different than original.
  - 8) Name and office of person sending the form.
  - 9) Current date.
- Before mailing, photocopy the completed form and attach the copy to the out card.
  - Follow up again, if the file holder hasn't returned the file or responded within one week.
  - Change the information on the out card or attach the returned form (OS2) to it, if the original file holder advises there's a new file holder or return date.





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## Chapter IV—Green-Stamp Procedures

*Elimination and responsibility. . .*

### Guidelines for Use of the “Green Stamp”

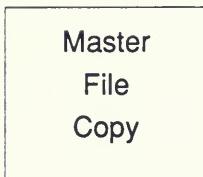
*Effective July 1, 1992, the green-stamp procedures differ for the highway project documents in the Highways Division. See page IV-6 for those procedures.*

#### Why Are We Doing This?

The green-stamp procedures allow for elimination of duplicates. However, some records must be kept for future reference. Documents bearing the green stamp will be considered ‘permanent’ . . . until the retention date has been met or the document is microfilmed. The office that has the green-stamped document is responsible for maintaining it.

#### How Many Stamps?

One per document—called the *Green Stamp*.



Stamps are located in each office.

#### How Do I Use It?

Read on.

Following is a list of some items that do and do not have to have the green stamp on them:

<i>Do</i>	<i>Do Not</i>
Project materials—letters, memos, project reports, etc.	Vouchers
General correspondence—letters, memos, minutes, etc.	Invoices
Reports	Purchase orders
Agreements	Bank statements
Policies and procedures	Social events

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## **Placing the Green Stamp on the Document**

### **In-house Documents**

*Originating Office. . .*

The originator of a document is the keeper of the green-stamped document. It's the originator's responsibility to place the green stamp on the document. When a letter or memo is written, the green stamp is put on a copy. If the document is a form or report, it is placed on the original or a copy.

An originator is defined as the person whose name appears on the signature line of a letter or after From: on a memorandum. There are many circumstances when individuals write letters or memos for others' signatures. In those situations, the originator is still considered the person whose name is on the signature line of a letter or after From: on a memorandum.

### **Outside Agency Documents**

*Receiving Office. . .*

The person receiving a document from outside the department has the responsibility of placing the green stamp on the document—either the document received or a copy. The original recipient either retains it, after taking the appropriate action, or forwards it on to another office for action, if necessary. The next recipient, in turn, retains it or forwards it, if necessary.

The keeper ensures the green-stamped document is filed.

### **Where Do I Stamp the Document?**

Place the green stamp in the upper right-hand corner of the document. If there's information in the upper right-hand corner (legal documents sometimes have a clerk's stamp in this location), place the stamp as close to the top as possible in the right-hand margin.

Be consistent about placing the green stamp.

---

## **GREEN-STAMP PROCEDURES (CONTINUED)**

*Examples for using the green stamp follow:*

### **Originating Letters or In-house Memos:**

- a. Type the letter/memo.
- b. Obtain signature.
- c. Green stamp the originator's copy.
- d. Make copies for distribution.
- e. Make distribution.
- f. Originator ensures the green-stamped document is filed.

*In-house Memo Example. . .*

If an in-house memo is prepared by the Chief of the Accounting Services Bureau for the signature of the Administrator of the Administration Division, the following steps occur:

1. Memo is prepared and given to the administrator for signature.
2. Division administrator signs the memo.
3. Green stamp the originator's copy and make copies for distribution.
4. Memo is distributed.
5. The green-stamped copy is retained by the Division Administrator (he's considered the originator) until the retention date is met or the document is microfilmed.

*In-house Report Example. . .*

The Budget Section prepares the monthly budget report titled Director's Report. This report is distributed to the Director of Transportation and the Division Administrators. The following steps are followed by the Budget Section:

1. Report is prepared and distributed.
2. File copy is green stamped.
3. Green-stamped report is retained by the Budget Section until the retention date is met or it's microfilmed.

---

### **Receiving Documents from Outside this Agency:**

- a. Green stamp one copy (can be the document received or a copy).
- b. Make copies for distribution (if necessary).
- c. Make distribution (if necessary).
- d. The recipient of the green-stamped document ensures it is filed.

*For Example. . .*

If the Administrator of the Human Resources Division receives a letter from the Department of Administration that doesn't require a response, the following steps are followed:

1. Green stamp the letter received.
2. Make copies for distribution, if copies need to be sent to others.
3. Make distribution, if necessary.
4. The Human Resources Division retains the green-stamped copy until the retention date is met or the document is microfilmed.

*Another Example. . .*

If the Chief of the Public Affairs Bureau receives a letter from the Attorney General, but the letter should have been sent to the Administrator of the Rail & Transit Division instead, the following steps are followed:

1. Green stamp the letter.
2. Forward the green-stamped letter to the Administrator of the Rail & Transit Division for the appropriate action.
3. The Administrator of the Rail & Transit Division is responsible for the green-stamped document and will respond to it (if a response is required) and file it.
4. The Administrator of Rail & Transit Division is now the keeper of the green-stamped document and will keep it until the retention date is met or it's microfilmed.

**Responding to Documents from Outside this Agency:**

- a. Prepare the response.
- b. Obtain signature.
- c. Green stamp the originator's copy.
- d. Make copies for distribution.
- e. Make distribution.
- f. Originator ensures the green-stamped document is filed.

*For Instance. . .*

If the Director of Transportation receives a letter from John Doe complaining about potholes on a highway, the following steps are followed:

1. Green stamp the letter.
2. Photocopy the letter. It's okay to make photocopies of the green stamp. As long as the stamp on a document isn't green, that copy isn't the master file copy.
3. Forward the photocopy to the Highways Division requesting a response be prepared for the director's signature.
4. After response is approved and signed, the original response is mailed. The director's copy is green stamped and copies are made.
5. Distribute copies according to copy information listed on the response. The individual who wrote the response for the director's signature lists his/her name if he/she wants to receive a copy.
6. The green-stamped letter from John Doe and the green-stamped copy of the response are filed in the director's office. The director is the keeper because the director's name is on the signature line of the letter.
7. The green-stamped documents are retained until the retention dates are met or they're microfilmed.

---

## **Green-Stamp Procedures for Highway Projects in the Highways Division**

*Effective July 1, 1992, the green-stamp procedures differ for the highway project documents in the Highways Division. For non-project documents, there is no change.*

### **Keepers of the Green-Stamped Documents**

The seven bureaus in the Highways Division are the keepers of the green-stamped documents produced in their respective bureaus. The sections/units in each bureau in the Highways Division forward the green-stamped documents to their bureau office for filing in the master file.

Field offices send their green-stamped documents to the appropriate bureau in headquarters for filing. No green-stamped documents for highway projects are retained in the field.

It's important to ensure that the green-stamped documents reach the master project files. Eventually, only the green-stamped documents will be microfilmed. Valuable information will be lost through disposal if the green-stamped document isn't in the master project file.

### **In-house Documents**

In the Highways Division, the green stamp is placed on the original of in-house documents and then photocopies are made for distribution. The green-stamped copy is filed in the bureau's master file. Placing the green stamp on the document before photocopies are made ensures the recipients that they don't have to retain the document after it's served its purpose (because the stamp on it isn't green). This practice also ensures the recipients that there is, indeed, a green-stamped copy that's being retained.

#### *Originating Office. . .*

The originator is responsible for placing the green stamp on the document that's to be placed in the master project file. For letters and memos, the originator is defined as the person whose name appears on the signature line of a letter or after From: on a memorandum. There are many circumstances when individuals write letters or memos for others' signatures. In those situations, the originator is still considered the person whose name is on the signature line of a letter or after From: on a memorandum.

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## **GREEN-STAMP PROCEDURES (CONTINUED)**

### *Receiving Office. . . .*

#### **Outside Agency Documents**

The person receiving a document from outside the department has the responsibility of placing the green stamp on the document. The original recipient either retains it in the bureau's master file after taking the appropriate action, or forwards it on to another bureau for action, if necessary. The next recipient, in turn, retains it in the bureau's master file or forwards it, if necessary. For field offices, the green-stamped document is sent to the appropriate bureau in headquarters for the master file.

The recipient ensures the green-stamped document is filed in the bureau's master file.

#### **Where Do I Stamp the Document?**

Place the green stamp in the upper right-hand corner of the document. If there's information in the upper right-hand corner (legal documents sometimes have a clerk's stamp in this location), place the stamp as close to the top as possible in the right-hand margin.

Be consistent about placing the green stamp.

*Examples for using the green stamp follow:*

#### **Originating Letters or In-house Memos:**

- a. Type the letter/memo.
- b. Obtain signature.
- c. Green stamp the originator's copy.
- d. Make copies for distribution.
- e. Make distribution.
- f. Originator ensures the green-stamped document is filed in the bureau's master project file.

### *In-house Memo Example. . .*

If an in-house memo pertaining to a highway project is prepared by the Preconstruction Bureau Chief for the signature of the Administrator of the Highways Division, the following steps occur:

1. Memo is prepared and given to the administrator for signature.
2. Division administrator signs the memo.
3. Original is green stamped.

- 
4. Copies are made.
  5. Memo is distributed.
  6. The green-stamped copy is sent to the Preconstruction Bureau for the master project file. The document is retained until the retention date is met or it's microfilmed.

#### **Receiving Documents from Outside this Agency**

- a. Green stamp the document received.
- b. Make copies for distribution (if necessary).
- c. Make distribution (if necessary).
- d. The recipient of the green-stamped document ensures it is filed in the bureau's master project file.

*For Example... .*

If the Administrator of the Highways Division receives a letter from the Department of Fish, Wildlife & Parks that's project related, but doesn't require a response, the following steps are followed:

1. Green stamp the letter received.
2. Make copies for distribution, if copies need to be sent to others.
3. Make distribution, if necessary.
4. The green-stamped copy is forwarded to the appropriate bureau for the master project file.

*Another Example... .*

If the Chief of the Bridge Bureau receives a letter from the Department of State Lands that's project-related, but the letter should have been sent to the Chief of the Construction Bureau instead, the following steps are followed:

1. Green stamp the letter.
2. Forward the green-stamped letter to the Construction Bureau for the appropriate action.
3. The Chief of the Construction Bureau is responsible for the green-stamped document and will respond to it (if a response is required) and file it in the master project file.
4. The Construction Bureau is now the keeper of the green-stamped document and will retain it until the retention date is met or it's microfilmed.

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## **GREEN-STAMP PROCEDURES (CONTINUED)**

### **Responding to Documents from Outside this Agency:**

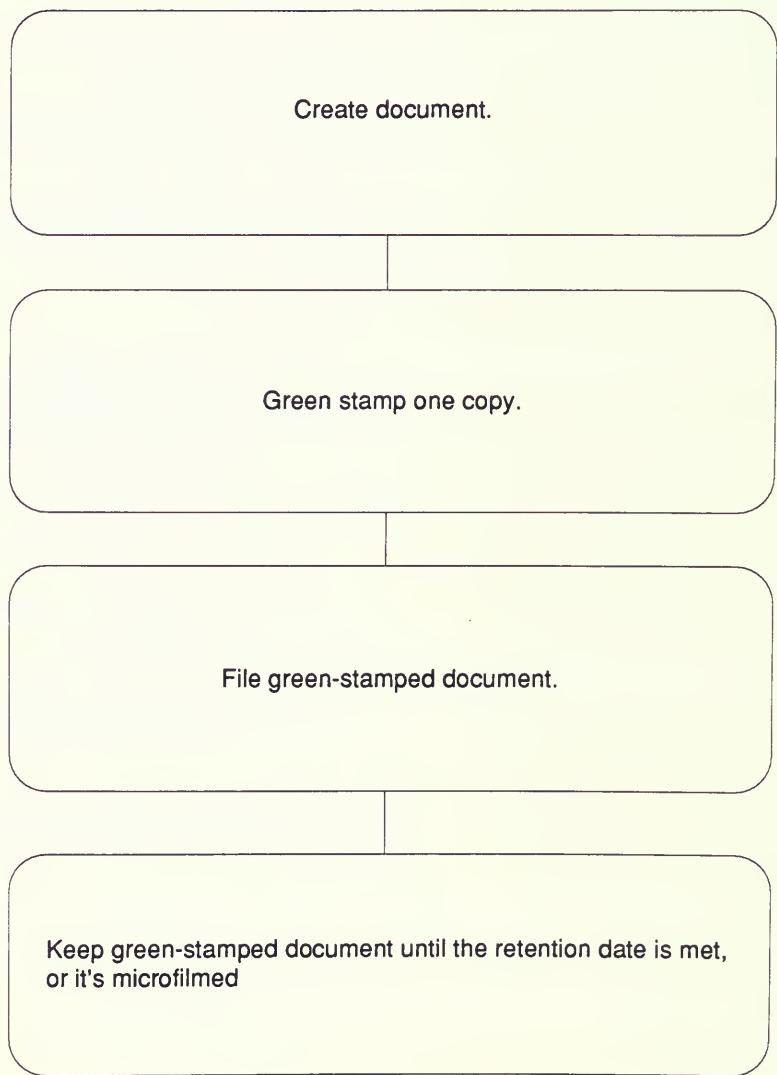
- a. Prepare the response.
- b. Obtain signature.
- c. Green stamp the originator's copy.
- d. Make copies for distribution.
- e. Make distribution.
- f. Originator ensures the green-stamped document is filed in the bureau's master project file.

*For Instance . . .*

If the Administrator of the Highways Division receives a letter from John Doe questioning our procedures on a highway project, the following steps are followed:

1. Green stamp the letter.
2. Photocopy the letter.
3. Forward photocopy to District Engineer requesting a response be prepared for the administrator's signature.
4. After response is approved and signed, the original is mailed.
5. A copy of the department's response is green stamped.
6. Make photocopies and distribute copies according to copy information listed on the response.
7. The green-stamped letter from John Doe and the green-stamped copy of the response are forwarded to the appropriate bureau for the master project file.
8. The bureau is the keeper of the green-stamped documents and will retain them until the retention dates are met or they're microfilmed.

### **Flow Chart for a Green-Stamped Document**







# Chapter V—Records Retention

*Records management terms...*

This chapter outlines objectives and procedures for inventorying, profiling, scheduling and disposing of records.

## **Objectives**

- Maintain a current inventory and retention schedule for office records.
- Provide an orderly manner for controlling office records.
- Save space and money by removal of records no longer of significant value from costly office and storage space.

*Records coordinators...*

To achieve these objectives, each office designates a records coordinator. The coordinator's name is reported to the Records Center personnel and is updated when changes occur.

The records coordinator is responsible for the office records—maintaining a current records inventory, records series profiles, and records retention schedule forms, plus requests for disposing, microfilming or transferring records. Disposition of records occurs on an annual basis.

The remainder of this chapter provides instructions for completing the records management forms. For further assistance, reference MOM Vol. I, Chapter 1-0800 or phone the Records Center personnel at 444-7288.

## **Records Inventory (Form OS 1):**

The inventory of records is necessary for managing them. MDT is responsible for the public records<sup>①</sup> we create or receive.

*Non-records...*

**Important:** Leave non-records out of the inventory process. Non-record examples are: shorthand notes or steno tapes that have been transcribed; route slips; catalogs or trade journals used for reference; requests to agencies for a publication; a copy of a letter from another office where no documented administrative action was taken; etc. See the Department of Administration's (DOA) **Records Management Policies and Procedures** manual, General Schedule 8 for non-record material.

①

Public records are any paper, correspondence, form, book, photograph, microform, magnetic tape, computer storage media, maps, drawings, or other document, including all copies, regardless of physical form or characteristics, that has been made or received by a state agency in connection with the transaction of official business and preserved for informational value or as evidence of a transaction and all other records or documents required by law to be filed with or kept by an agency of the state.

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## **Records Inventory (Form OS 1) continued:**

Conduct the inventory for office records first. This should ease the identification of records in storage. Include all types of records, i.e., hard copy, computer programs, microfilm, etc. The Records Inventory form can be completed manually or in WordPerfect. Blank forms or WordPerfect instructions are available from the Office Support Unit.

### **Records Inventory instructions (sample on next page):**

- 1) Date and page number the form (this is automatic in WordPerfect).
- 2) Provide records description and form number (if any).
- 3) Determine the record value.<sup>②</sup>
- 4) Recommend a retention period after determining the record value.
- 5) List the fiscal year(s) on hand, both office and storage.
- 6) State which office is responsible for retaining the master copy document.
- 7) State the backup procedure used, if applicable, e.g., microfilm, VAX, etc. If backup is not required, write 'none.'
- 8) Record the primary classification code and abbreviation that will be used.
- 9) Include the office name.
- 10) Print the name of the person preparing the inventory.

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<sup>②</sup>

**Administrative** records are tools to help accomplish the functions for which an agency was established. Administrative records normally exhaust their current usefulness when the transactions to which they relate are complete.

**Fiscal** records pertain to financial obligations, such as receipt, transfer, payment, adjustment or encumbrance of funds. For record value, retain for the recommended auditing period.

**Historical** records contain authentic evidence of an agency's organization, function, policies, procedures, operations or other activities having historical value. This information may be found in policy records, organizational documents, memos, correspondence or reports. Transfer to the State Archives when no longer used.

**Legal** records contain evidence for legal action, decisions or opinions, i.e., leases, titles, contract, charters, claims, dockets, personnel records, etc. For record value, consult Montana Codes Annotated or the Code of Federal Regulations.

**Vital** records are essential for the operation and function or reconstruction of a state agency. These records require security storage or some means of backup protection.

## RECORDS RETENTION (CONTINUED)

### Records Inventory (Form OS 1—example):

#### Montana Department of Transportation Records Inventory

Records Description & Form No. (if any)	Retention Value Admin., Judicial, Administrative/ Legal Vital	Recommended Retention	Fiscal Years (earliest to most current)	Office Responsible for Master File Copy	Records Backup Procedure (e.g., VM, microfiche, etc.)	Primary Classification	Primary Classification
CLAIMS	F/L	4 YEARS	01-95	HUMAN RESOURCES	HOME	01 ACT	01 (ACT) Accounting/Financial
PERSONNEL	L	7-YR AFTER		HUMAN RESOURCES	HOME	01 PER	05 (AF) Agency/Federal
CAPITAL ASSETS PHYSICAL INVENTORY '92	F	3 YEARS	92	ACCOUNTING	HOME	01 ACT	10 (AD) Agency State
COST EVALUATION	A	3 YEARS	92	ACCOUNTING	HOME	01 ACT	12 (ACC) Associations
ENHANCEMENT WORK - HIGHWAY	I	3 YEARS	92	HIGHWAYS	HOME	01 ACT	14 (BLD) Budgets
FORCE ACCOUNT	A	3 YEARS	03-87	HIGHWAYS	HOME	01 ACT	16 (CTC) City/Town/City
GAS TAX	F	3 YEARS	01-92	PLANN. & RESEARCH	HOME	01 ACT	18 (CR) Civil Rights
HIGHWAY FINANCING	F	3 YEARS	09-92	HIGHWAYS	HOME	01 ACT	30 (COM) Committees/Meetings
INVENTORY COUNT TEAMS	F	3 YEARS	92	HIGHWAYS	HOME	01 ACT	32 (COM) Communications/ News Releases
OBIGATION AUTHORITY	F	3 YEARS	98	PROGRAM DEVELOP.	HOME	01 ACT	34 (CON) Contracts
PAYROLL	F	3 YEARS	01-92	HIGHWAYS	HOME	01 ACT	36 (C/R/A) Contracts/Leased/ Agreements
PERFORMANCE AUDIT (MOTOR POOL)	F	3 YEARS	92	DIRECTOR	HOME	01 ACT	40 (EDT) Education/Training
ARCHAEOLOGICAL IDENTIFICATIONS	A	3 YEARS	01-92	ENVIRONMENTAL	HOME	05 AF	42 (EDO) Equipment
CERTIFICATION ACCEPTANCE	A/R	3 YEARS	73-92	HIGHWAYS	MICROFICHE	05 AF	43 (EG) General Correspondence (see definition) Legal
CORPS OF ENGINEERS	A	3 YEARS	03	ENVIRONMENTAL	HOME	05 AF	50 (LR) Legal
DATA	A	3 YEARS	00-92	HIGHWAYS	HOME	05 AF	55 (LEG) Legislation
DATA PAST	A	1 YEAR	03-84	HIGHWAYS	MICROFICHE	05 AF	57 (MTC) Maintenance
DATA PROCESS REVIEWS	A	3 YEARS	01-92	HIGHWAYS	MICROFICHE	05 AF	60 (PER) Personnel
FINANCING FEDERAL AID HIGHWAY	A	3 YEARS	93	HIGHWAYS	HOME	05 AF	62 (PP) Policies/Procedures
FOREST SERVICE NON	A	3 YEARS	00-95	HIGHWAYS	MICROFICHE	05 AF	65 (PRO) Programs & Project
FISH AND GAME	A	3 YEARS	04-91	HIGHWAYS	HOME	10 AS	67 (PUR) Purchasing
LEGISLATIVE AUDIT	F	3 YEARS	93	DIRECTOR	HOME	10 AS	69 (INV) Right-of-Way
MSIOT AWARDS	A	3 YEARS	04-93	HIGHWAYS	HOME	12 ACC	70 (SA) Safety
MSIOT MEETINGS	A	3 YEARS	02-93	HIGHWAYS	HOME	12 ACC	75 (S/9/8) Staff/Division/ District (see defn.)
MSIOT PREFERENCE	A	3 YEARS	01-92	HIGHWAYS	HOME	12 ACC	70 (S/9/8) Survey/Study/Report
MSIOT SOFTWARE	A	2 YEARS	00-92	HIGHWAYS	HOME	12 ACC	75 (TR) Transportation Systems

0100-0701

### Records 'Series' Profiles (Form RM 1—example follows):

Records 'series' are a group of related files. The primary classification may denote the 'series' title for administrative and operational records, e.g., Associations (see instruction #2 on page V-4). Assign a 'series' title for records that do not belong in the classification system, i.e., construction projects, strip maps, tax appeal hearings, etc.

Retention periods for records common throughout state government, i.e., budget, administrative, SBAS, personnel/payroll, etc., are listed in the general schedules of the DOA Records Management Policies and Procedures manual. These records **do not** need to be profiled again.

The completed 'series' profile forms are used to prepare the Records Retention Schedule (see page V-6). Send the completed 'series' profile forms and retention schedule to the Records Center.

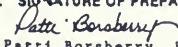
A sample Records 'Series' Profile form (RM 1) and the instructions follow. For further assistance, see the reverse side of form RM 1.

### **Records 'Series' Profile instructions:**

- 1) Complete the agency name and code. Program name and code are the office and responsibility center, plus the profile number (01,02,...).
- 2) Assign the particular title description for that 'series.' List records used to reference the 'series' below the title.
- 3) List the coordinator's name, title and telephone number.
- 4) Indicate the 'series' location, both office and storage. Be specific.
- 5) Describe the records 'series':
  - *Type*: subject files, requests, correspondence, financial, personnel, major forms, etc.
  - *Format*: original paper, photocopies, computer tape, microfilm, photographs, maps, etc.
  - *Content*: directives, licenses, applications, reports, publications, etc.
  - *Function*: describe why records 'series' exists and its end use.
  - *Completeness*: state "complete" if 'series' documents transactions from beginning to end. Or, list other related files 'series' if they are necessary for complete information.
  - *Vital Record*: check the box if the records are essential to the agency functions (see definition on page V-2).
- 6) List the earliest and latest dates on hand. If the 'series' is continually evolving, designate "to date" or "to present."
- 7) State the filing scheme, e.g., alpha, chronological, etc.
- 8) Leave blank. Not applicable at this time.
- 9) State whether the 'series' is duplicated in either form or content and to what degree the duplication exists. Note: location of the duplicates indicates which is the primary record and which is the secondary.
- 10) Indicate the annual rate of accumulation in cubic feet. Make note if growth trend exists. (An average letter-size file drawer holds 27" or about 2 1/4 cubic feet.)
- 11) State the retrieval frequency of the records:
  - Very Active: accessed daily
  - Active: accessed monthly
  - Inactive: less than once per monthAdditionally, list the source of retrieval request and the purpose, e.g., internal, external, legal, personnel.
- 12) List any law, executive order, administrative rule or policy governing the retention and access to the records 'series.' A copy of pertinent regulations should be attached.
- 13) List the retention of the record 'series,' segregated by location (office or storage) and total. Records with "permanent" retention should be transferred to archives after the retention period is met. Special stipulations should be noted, e.g., "after audit," "after superseded," etc.

RECORDS RETENTION (CONTINUED)

- 14) Recommend the disposition of the 'series.' Retentions longer than 10 years shall be microfilmed and destroyed, unless "permanent."
- 15) Provide special comments, if applicable.
- 16) List the preparer's name and title (typed) as well as the signature.
- 17) List the date of the preparer's signature.

STATE OF MONTANA DEPARTMENT OF ADMINISTRATION RECORDS MANAGEMENT		RECORDS SERIES PROFILE	For Internal Use Only Schedule No.
SEE INSTRUCTIONS ON REVERSE SIDE			
<b>1. AGENCY CREATING RECORD</b> Agency Name: Dept. of Transportation Agency Code: 5401 Program Name: Administration Division Program Code: 018020-01		<b>2. SERIES TITLE</b> PERSONNEL FILES *Action Forms - 142B *Decedent Warrant *Training *Etc.	
<b>3. AGENCY CONTACT</b> Name: Patti Borsberry Title: Records Tech II Telephone: 444-6030		<b>4. LOCATION OF SERIES</b> Room: 215 St. Address: 2701 Prospect Ave. Building: Headquarters & "C" City: Helena	
<b>5. SERIES DESCRIPTION</b> Type: Personnel Format: Originals, Copies Content: Data Function: To record employee status, deductions, policy acknowledgements. Completeness: Complete		<input type="checkbox"/> Vital Record	
<b>6. INCLUSIVE DATES (Mon/Day/Yr)</b> Start: 1968 End: To date		<b>7. ARRANGEMENT</b> Alphabetic	<b>8. VOLUME (if?)</b>
<b>9. DUPLICATION</b> Form or Content: Content Full or Partial: Full Location: Human Resources Div. Primary or Human Resources Div. Secondary: Administration Div.		<b>10. RATE OF ACCUMULATION (Annual)</b> First Year: <input type="checkbox"/> cu. ft. Second Year: <input type="checkbox"/> cu. ft. Older: <input type="checkbox"/> cu. ft.	
<b>11. NATURE AND FREQUENCY OF USE</b> First Year: Active Second Year: Active Third Year: Active Older: Active		Source of Requests: Internal, External Purpose of Requests: Verify Employment, Legal, Updates, etc.	
<b>12. LAWS OR POLICIES GOVERNING RETENTION</b> (attach copy if possible)			
<b>13. RECOMMENDED RETENTION (Years)</b> Office: 1 year after termination Records Center: 1 yr. Total: 2 yrs. after term.		<b>14. RECOMMENDED FINAL DISPOSITION</b> <input checked="" type="checkbox"/> Destroy <input type="checkbox"/> Microfilm & Destroy <input type="checkbox"/> Offer to Archives	
<b>15. COMMENTS</b>			
<b>16. SIGNATURE OF PREPARER</b>  Patti Borsberry, Records Tech II		<b>17. DATE OF PREPARATION</b> 8-1-91	

### **Records Retention Schedule (Form RM 3):**

This is a recap of the records 'series' profiles. One profile for every records title must accompany this schedule.

Once complete, forward the schedule and profile forms to the Records Center personnel. The Records Center is the liaison for the Montana Department of Transportation and the Records Management Bureau of the Office of the Secretary of State.

The Records Management Bureau routes the schedule and profiles through each Records Committee<sup>③</sup> member. The approval process takes approximately six weeks.

After an office receives its approved Records Retention Schedule, the next step is to request disposal of obsolete records (see page V—8).

The records coordinator must modify the schedule when new records are created or old records are deleted.

An example of a completed retention schedule form and the instructions for preparing it follow.

### **Records Retention Schedule instructions:**

- 1) Enter the schedule number, which is the office responsibility center number. Effective date is the month and year schedule is created or modified. Count the number of pages used for scheduling.
- 2) Check the appropriate box when creating or modifying the schedule.
- 3) List the agency code (5401) and agency name. Program code is the responsibility center plus the *total* profile numbers, e.g., 01—07 (see profile instruction #1 on page V—4). Program name is the office name. The authorized signature must be the Bureau Chief's or Division Administrator's.
- 4) Leave blank. This is for the Records Committee members' signatures upon approval of the schedule.
- 5) List the item numbers of the record 'series' profiles, beginning with 01.

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<sup>③</sup>The Records Committee consists of one representative from the offices of the Department of Administration, Attorney General, Legislative Auditor, Historical Society and Secretary of State.

## RECORDS RETENTION (CONTINUED)

- 6) List the form or report numbers (if applicable).
- 7) List the Series Titles from the records 'series' profiles.
- 8) List the office names to whom distribution of this Series Title is distributed, internal and external.
- 9) List the same retention years as recommended on the records 'series' profiles. Segregate years by location and total.
- 10) List the same disposition as recommended on the records 'series' profiles.
- 11) Leave blank. This is used by the Records Committee members.

State of Montana DEPARTMENT OF ADMINISTRATION RECORDS RETENTION SCHEDULE										FOR CENTRAL OFFICE USE ONLY				
(1) RECORDS RETENTION SCHEDULE X CREATION □ MODIFICATION										SCHEDULE NUMBER 018020 EFFECTIVE DATE 8/9/				
(2) NUMBER OF AGES IN THIS SCHEDULE										1				
<p><b>Submitted By:</b> (3) <u>William St. Selsbury</u> AUTHORIZED SIGNATURE  <small>4101 Department of Transportation AGENCY NUMBER 018020 01-07 PROJECT NUMBER</small></p> <p>Approved by the Legislative Auditor: (4) _____  <small>AUTHORIZED SIGNATURE DATE</small></p> <p>Approved by the Attorney General: _____  <small>AUTHORIZED SIGNATURE DATE</small></p>										<small>In accordance with Sections 24-208, M.R.C.A., a schedule of retention and destruction for the following records is herby established. This schedule applies to all records created or received by the department. This schedule does not apply to those records which are transferred to other permanent units, shall upon expiration of the retention period be destroyed or held no longer than one year. If records are to be retained longer than the period of time specified in this schedule, they must be segregated and placed in a separate file. If records are to be destroyed within 200 days after the period of retention has lapsed, they may be destroyed at any time. Projects which require longer retention periods than the period of time specified in this schedule must be approved by the Director of Administration or the State Auditor. Prior to being discontinued a Conference of Records Disposal File I must be completed.</small>				
<p>Approved by the Montana Historical Society: _____  <small>AUTHORIZED SIGNATURE DATE</small></p> <p>Approved by the Department of Administration: _____  <small>AUTHORIZED SIGNATURE DATE</small></p> <p>Approved by the Secretary of State: _____  <small>AUTHORIZED SIGNATURE DATE</small></p>										<small>APPROVED AND SIGNED DATE</small>				
<p>Item Number Form/Report Number (5) Description of Item (6) Form/Report Number (7) Retention Period (8) Distribution (9) Disposition (10) Disposition</p> <p>01 Personnel Files Until 1 1 2 Destroy</p> <p>02 Budget Files Admin. Div. Human Resources 4 0 4 Destroy</p> <p>03 162B Timeclips Admin. Div. Budget Section 1 9 10 Destroy</p> <p>04 Projects/Progress Admin. Div. Acctg Bureau 3 2 5 Destroy</p> <p>05 Policies Admin. Div. Human Resources Until Superseded Offer to Archives</p> <p>06 Manuals Admin. Div. State Library Until Superseded Destroy</p> <p>07 Bonds Admin. Div. Bd. of Invest. 25 0 25 Microfilm &amp; Destroy</p>										<small>LA AC HB DA BS</small>				

(M-2 Rev. 8/99 (0000-0002))

\*Line may be deleted if no action is taken on this schedule. If disapproved, refer to attached "Exception Report".

### **Records Disposal Request (Form RM 5):**

The disposition of obsolete public records must be approved by the State Records Committee, whether disposing, destroying if confidential or transferring if historically significant.

Form RM 5 is used for the disposal of records listed in the general schedules of DOA's Records Management Policies and Procedures manual and for each MDT office's retention schedule.

Request disposal of records by fiscal year only. *Do not count the current fiscal year.*

Once complete, forward the disposal request form to the Records Center personnel. The approval process takes approximately four weeks.

When your office receives the approved Records Disposal Request, disposition takes place immediately. Dispose of records annually.

All records transferred to the State Archives will be conducted through the Records Center.

### **Records Disposal Request instructions:**

- 1) Complete the agency code (5401). The agency request number is your office responsibility center number, plus the number of disposal requests to date (begin with 01). Date, using month, day and year. List the number of pages used.
- 2) State the agency name and office name. The Authorized Signature must be the Bureau Chief's or the Division Administrator's.
- 3) Leave blank. This is used for signatures of the Records Committee members upon approval of disposition.
- 4) List the item number provided from the DOA General Records Retention Schedule (Records Management Policies and Procedures manual), or use the item number assigned on your Records Retention Schedule.
- 5) List the General Records Schedule number, or your office schedule number.
- 6) State the From-To dates requested for disposal.
- 7) List the cubic feet of records requested for disposal.
- 8) List the description of the records.
- 9) Leave blank. This is for use by members of the Records Committee.

RECORDS RETENTION (CONTINUED)

Records Disposal Request (Form RM 5) example:

 <b>RECORDS DISPOSAL REQUEST</b>		FORM CODE	RM 5																																																								
		AGENCY CODE	5401																																																								
		AGENCY REQUEST NUMBER	018021 - 01																																																								
		DATE	8/1/91																																																								
		PAGE NUMBER	1 OF 1																																																								
<b>Instructions</b> 1. Submit white, yellow and pink copies to Records Management; retain goldenrod copy in agency file. 2. Approved copy will be forwarded to agency by Records Management. 3. Until schedule numbers are assigned, leave blank; item numbers should be listed consecutively. 4. Use Form RM 5.1 for continuation.																																																											
<b>CERTIFICATION</b> I certify that the records described in this request are not required for the current operation of this agency and are not required to be retained by any statute or schedule of records retention. These records are not subject to further examination by any governmental agency, and any records subject to pending litigation will not be destroyed unless such records have been microfilmed.		(2)																																																									
<b>SUBMITTED BY</b>  AUTHORIZED SIGNATURE	AGENCY	Department of Transportation																																																									
	PROGRAM	Administration Division																																																									
	<i>William W. Salisbury</i>			Signatures																																																							
				Date																																																							
<b>AUTHORIZATION</b>  FOR THE LEGISLATIVE AUDITOR  FOR THE ATTORNEY GENERAL  FOR THE DIRECTOR HISTORICAL SOCIETY  FOR THE DIRECTOR DEPT. OF ADMINISTRATION  FOR THE SECRETARY OF STATE																																																											
<table border="1"> <thead> <tr> <th rowspan="2">Item No.</th> <th rowspan="2">Schedule Reference</th> <th rowspan="2">Dates (Mo/Yr) From To</th> <th rowspan="2">Cyl. FL</th> <th rowspan="2">Description of Records</th> <th colspan="5">Disapproval*</th> </tr> <tr> <th>LA</th> <th>AG</th> <th>HS</th> <th>DA</th> <th>SS</th> </tr> </thead> <tbody> <tr> <td>(4) 01</td> <td>(5) 018021</td> <td>(6) 6/84-6/88</td> <td>(7) 2.5</td> <td>Personnel Files - terminated</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>04</td> <td>018021</td> <td>6/80-6/81</td> <td>16</td> <td>Timeslips - Payroll Files</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>32</td> <td>GS 1</td> <td>6/86-6/88</td> <td>4</td> <td>Transfer Warrant Claims</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>79</td> <td>GS 1</td> <td>6/87-6/88</td> <td>1/4</td> <td>Pama Property Acctability Voucher-277</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>					Item No.	Schedule Reference	Dates (Mo/Yr) From To	Cyl. FL	Description of Records	Disapproval*					LA	AG	HS	DA	SS	(4) 01	(5) 018021	(6) 6/84-6/88	(7) 2.5	Personnel Files - terminated						04	018021	6/80-6/81	16	Timeslips - Payroll Files						32	GS 1	6/86-6/88	4	Transfer Warrant Claims						79	GS 1	6/87-6/88	1/4	Pama Property Acctability Voucher-277					
Item No.	Schedule Reference	Dates (Mo/Yr) From To	Cyl. FL	Description of Records						Disapproval*																																																	
					LA	AG	HS	DA	SS																																																		
(4) 01	(5) 018021	(6) 6/84-6/88	(7) 2.5	Personnel Files - terminated																																																							
04	018021	6/80-6/81	16	Timeslips - Payroll Files																																																							
32	GS 1	6/86-6/88	4	Transfer Warrant Claims																																																							
79	GS 1	6/87-6/88	1/4	Pama Property Acctability Voucher-277																																																							

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## Chapter VI—Records Center

### The purpose of the Records Center is to:

- receive, store and maintain highway project-related records while being processed for microfilming;
- microfilm project-related records, including diaries and plans, to provide permanent documentation for future reference, historical significance and space and cost control;
- provide retrieval of record requests.

The Records Center is not a central file. Its purpose is not to eliminate duplicate copies in the preconstruction or construction phases. If you feel it's necessary to keep copies during these phases, do so. Elimination of duplicate copies will come before microfilming.

Follow the steps below to create a "master" highway project file:

#### *Creating "master" files...*

1. Each office maintains its own highway project files during the preconstruction and construction phases sending *all* green-stamped documents to the appropriate headquarters bureau responsible for the "master" project file.
2. Each highway project file folder must be clearly labeled with the assigned project ID, uniform project number and location/description.
3. The district notifies the Construction Bureau when a highway project is completed.
4. The Construction Bureau notifies the headquarter offices when a highway project is completed and closed.
5. The Financial Management Bureau (FMB) submits the notification for final charges and prepares closing entries.
6. Three years after FMB processes the final voucher, the Records Center notifies, in writing, all offices responsible for the "master" project files that the retention has been met and to begin preparation for microfilming (see sample memo in Chapter VII).

If litigation or an audit are pending on projects requested for microfilming, the Construction Bureau advises the Records Center, in writing. Those projects aren't prepared for filming until litigation or the audit are completed.

If there are tort claims pending for projects requested for microfilming, the Preconstruction Bureau advises the Records Center, in writing. Those projects aren't prepared for filming until the claims are settled.

7. Using Chapter VII's instructions, the bureaus responsible for the "master" project files prepare them for microfilming and transfer the requested project files to the Records Center.
8. The Records Center verifies the files received and handles the transaction of having them microfilmed. Once the film is returned from the Records Management Bureau, it is quality checked. Upon assurance of the film, Records Center personnel dispose of the "master" project files with the exception of predetermined permanent records. The microfilm is stored in the Records Center for future use.

*Record retrievals...*

The Records Center provides record retrieval requests. Requests can be made by phoning or writing. Be specific. Copies will be delivered at scheduled times in headquarters and mailed or sent by FAX to the field offices, depending on the urgency.

Records storage boxes are provided by the Records Center. Place your orders for these boxes by phoning 444-7288. **Do not write on these boxes.** In headquarters, bring the filled storage boxes to the Records Center. Field offices transport their storage boxes via MDT couriers as soon as possible.





# Chapter VII—Microfilming Procedures

## Introduction

Microfilm can help solve problems of records retrieval, duplication, updating, and distribution of vast amounts of information handled by this department. One must realize, however, that microfilm is not a cure-all for records management problems. It's still necessary to:

- establish retention periods for all records;
- dispose of valueless records; and
- retire those records requiring further retention to a low-cost storage area.

## Advantages

Where microfilm is applicable, it can be very advantageous.

- Microfilm can save up to 98 percent of the space hard copies occupy. The contents for a vertical (traditional) filing cabinet drawer can be reproduced on a single, 100 foot roll of film.
- Overall retrieval speeds and costs are often improved.
- Microfilm systems make it possible to store needed documents and data at the users' fingertips.
- Microfilming can protect vital records from disaster, theft and negligence. Should the original documents become damaged or destroyed by fire, flood, disaster or theft, the film duplicate provides indisputable proof, and business can continue as usual.

## Legal Status of Microfilm

A "duplicate . . . produced . . . by means of photography, including enlargements and miniatures .... is admissible to the same extent as the original unless" certain conditions apply, according to M.C.A., Title 26, Chapter 10, Article 10, Montana Rules of Evidence.

## Requests for Highway Project Files

Three years after final payment, offices dealing with highway projects will be notified as to which project files should be prepared for microfilming and sent to the Records Center. The microfilm is stored in the Records Center.

## **Non-highway Project Documents**

Non-highway project documents can also be microfilmed, according to established retention schedules (see Chapter V). Vital records should be microfilmed and the film stored off premise.

Offices have the option of preparing their non-highway project documents for microfilming or paying a prep-service fee for having the Records Management Bureau (of the Office of the Secretary of State) do it. If offices choose to prep their documents, follow the instructions in this chapter. The microfilm for non-highway project documents must be stored by the office requesting the filming.

When the non-highway project documents are ready to be transferred to the Records Management Bureau for microfilming, securely tape a note on the top of each box and include the following information:

- billing number;
- office name;
- contact person and phone number.

Call 444-2716 and make arrangements for the documents to be picked up by the Records Management Bureau.

## **Document Preparation**

Offices are responsible for preparing their records for microfilming. The Records Center staff handles the microfilming transactions for highway project documents, only. Documents must be prepared for microfilming in accordance with procedures outlined in this chapter of the *Records Management Procedures Manual*. If offices have questions regarding document preparation after reading this chapter, please contact the MDT Records Center staff at 444-7288.

## **Preparation for Filming**

Document preparation means organizing the records in the exact order in which the documents must appear on the microfilm. It's the responsibility of each office to complete all document preparation. Personnel must be trained **before** preparing documents. Contact the Records Center when an employee needs training.

The microfilming camera has a stationary eye. Therefore, if a document is not placed in front of that eye, the camera eye will never see it and the document will not be filmed, i.e., if two sheets are left stapled or taped together. Retakes will be necessary, and documents will be out of sequence.

**Document preparation must be completed as follows:**

**1. Forms needed:**

**Records Transmittal and Receipt of Records Form (Form OS 3).**

This form is required for highway project records (not for non-highway project documents) and is available from MDT Stores. One form needs to be completed for each project number or project ID. Attach this form to the top of the first folder of each project. Place the folders in records storage boxes and transfer the project to the Records Center. See Chapter VII for Form OS 3 instructions.

**Microfilm Divider (Form OS 4).** The dividers are available from MDT Stores. This form is required for microfilm, but not for microfiche. For each highway project, one divider is needed for the regular-size documents and another for the oversize. For each 'batch' of non-highway records, one divider is required. Place this form just inside the first file folder for the project. For oversize documents, attach it to the top of the documents. See Chapter VII for Form OS 4 instructions.

**Microfilm Index.** Microfilm Indexes have been prepared for each office submitting highway-related project records for filming. These indexes are on file in each office. Complete this form by placing a check mark in front of the items that have been included for microfilming. Place this form directly behind the Microfilm Divider in the first file folder or directly behind the divider attached to the oversize documents. See Chapter VII for a sample Microfilm Index.

**2. What to remove and tape:**

Remove all staples, paper clips, etc., from the documents. However, leave the staple for multi-page documents to ensure the document is filmed as one 'package.' Remove all pages from dividers and fasteners in the folders. Tape torn edges of papers with transparent tape. Folded papers must be unfolded. Transparent tape should be placed on severely folded pages. (Care should be

taken that tape is not off or through the document.) When taping documents to a blank sheet of paper, such as small documents that can't be filmed alone, all sides must be completely taped. Ensure that all this is accomplished by moving each document in the folder page by page.

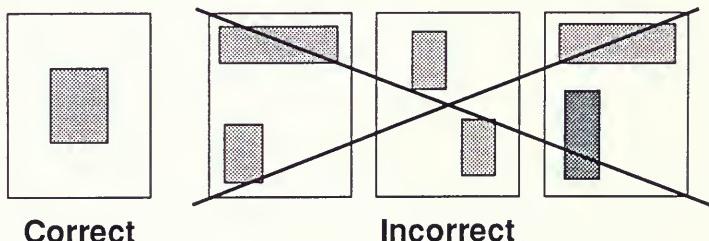
**a. Duplication:**

**Remove all duplicate information from the files or it'll be** filmed, which increases the cost.

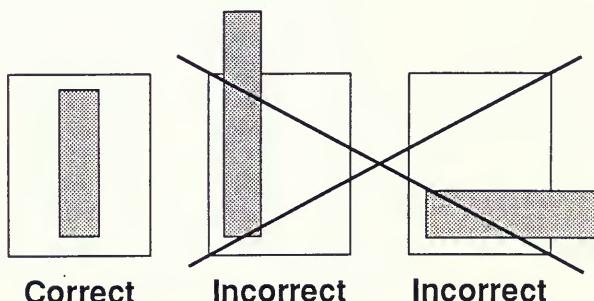
**b. Small documents:**

Documents smaller than 8 1/2" x 11" require special preparation.

- i. **Under 8 1/2" x 11".** If the documents are under 8 1/2" x 11", they're too small to film alone. Small documents must be centered and taped securely to a blank 8 1/2" x 11" white sheet. **Do not staple** any documents that are to be filmed. The staples will scratch the glass.



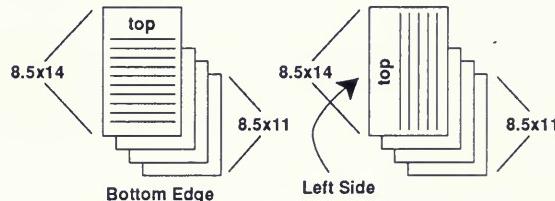
- ii. **Newspaper clippings.** Newspaper clippings must be cut to fit on an 8 1/2" x 11" paper; they can't drag or be folded under. Small clippings must be centered and taped.



iii. **Taping documents.** When taping documents to a blank sheet of paper, all sides must be completely taped. Care must be taken that the sticky part of the tape isn't off or through the paper.

### 3. Legal-size documents:

Documents which are of legal size should be unfolded. If the document is running the long way, the top of the document is on the left side.



### 4. Oversized documents:

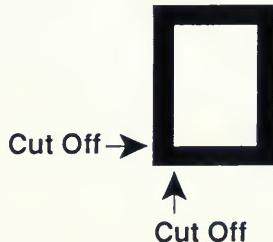
Pages larger than 11" x 14", including maps, plans, plats, etc., will be filmed with the map camera, using 35mm film. No filming preparation is required for oversized documents.

### 5. Unneeded sides of documents:

If one side of a two-sided document shouldn't be filmed, write **Do not film** on a sticky note and attach it to that side of the record. The side that isn't to be filmed shouldn't be face up (it shouldn't be facing the front of the folder).

### 6. Dark borders:

Dark borders need to be trimmed off on the left and bottom edges, leaving no more than 1/4" border. An example is black edges on photocopies.



### **7. Flimsy paper:**

The term flimsy paper refers to documents on tissue paper, onion-skin, etc.

If documents are legal size or under 8 1/2" x 11", follow the instructions under numbers 7 and 8 above.

### **8. Bound books:**

The Records Center will prepare bound books, such as the project diaries, for microfilming.

### **9. File folders:**

For easier document handling, return the prepared documents to the file folders that were used when these documents were active. Leave the documents loose —don't bind them in the folders. Place the folders (in the correct order) in the storage boxes.

#### **a. Order of documents in folders:**

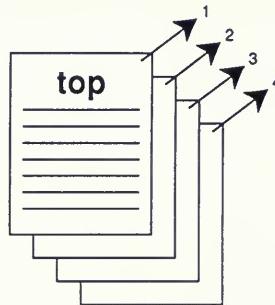
##### **Non-project documents:**

The first document, which is placed just inside the first file folder, will be the Microfilm Divider (Form OS 4). The rest of the documents are placed in chronological order, the most current to the oldest. Therefore, the second document is the most current document in the file. It's placed directly behind the Microfilm Divider in the file folder. Then, the third document is placed right behind that document and so on.

##### **Highway project documents:**

For highway projects, the first document will be the Microfilm Divider (Form OS 4). It's placed just inside the first file folder. The second document will be the bureau's Microfilm Index. The rest of the documents are placed in chronological order. Therefore, the third document in the folder is the most current document in the file. It's placed directly behind the Microfilm Index in the file folder. Then, the fourth document is placed right behind the third document and so on. As each document listed

on the Microfilm Index is prepared and placed in the file folder, check it on the index form.

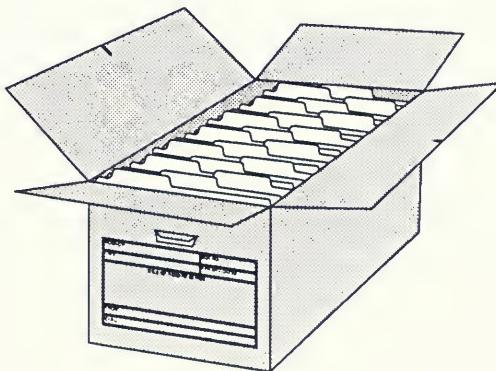


**b. Folders in boxes:**

The prepared documents are placed in file folders in the order in which they are to be filmed, i.e., the documents to be filmed first are in the front folder, etc. The folders are put in storage boxes. Use the folders that were used when the projects were active.

**10. Storage boxes:**

- Use only number A storage boxes, which are obtained from the Records Center. The storage box is 15"x12"x10".
- **Do not write on the storage boxes.** Box labels will be affixed by the Records Center.



## **Records Transmittal and Receipt of Records (Form OS 3):**

The transmittal/receipt form is an important control document for highway project documents. It's available from MDT Stores. The same form is used by the sending office and the Records Center.

Use ONE form per project number or project ID, listing each file folder for that project.

The transmittal/receipt form can be completed manually or in WordPerfect. The coding to access this WordPerfect form is:  
**wpdsk:[wpcommon.os-std]3.**

### **Records Transmittal and Receipt Instructions (Form OS 3):**

1. Type the name of the office sending the project files.
2. Include the transfer date.
3. Provide the project ID, uniform project number and location description (one project only per transmittal form).
4. Write the box number, indicating which box it is of the total boxes being transferred, e.g., 1 of 3, 2 of 3, etc.
5. List each folder separately by the type of folder, e.g., general file, change orders, etc.
6. Don't complete the **From** and **To** dates at this time (this information isn't required).

Upon receipt of the transmittal form and file folders, the Records Center personnel will verify the information listed on the form and complete the shaded portion of the form in the upper corner.

## **MICROFILMING PROCEDURES CONTINUED**

## **Records Transmittal and Receipt of Records (Form OS 3) - example:**

## **Microfilm Divider (Form OS 4):**

Microfilm Divider forms (Form OS 4) are available through MDT Stores. This form is required for microfilm, but not for microfiche. Complete one divider for each highway project or each 'batch' of non-highway records. For each highway project, one divider is needed for the regular-size documents and another for the oversize. For each 'batch,' of non-highway records, one divider is required.

Place this form just inside the first file folder in the storage box containing the prepared documents. For oversize documents, attach the form to the top (or outside) of the documents.

### **Microfilm Divider Instructions:**

1. Leave this part of the form blank. The Records Center will complete this information after filming.
2. Type the project ID on the left side of the first line. Include the four-digit uniform project number on the same line, but on the extreme right side.
3. Type the project location/description on the second line of the form.
4. Type the office name on the third line.

---

MICROFILMING PROCEDURES CONTINUED

Microfilm Divider (Form OS 4) - example:

MDT

Montana Department of Transportation

**Microfilm Divider**

Roll Number (1)
Description
(2) F 86-1(9)11      2389
Project ID      Proj. No. (Control)
(3) Battle Ridge Pass - N & S Project Description/Location
(4) Construction Bureau Office Name

Form OS 4 3/93

Stock # 3255-3105

**Microfilm Index:**

Each office submitting highway project documents prepares a Microfilm Index for its records. These index forms are on file in each office.

Place this form directly behind the Microfilm Divider (OS 4) in the first file folder in the storage box containing the prepared documents. For oversize documents, attach it to the top or outside of the first record.

**Microfilm Index Instructions:**

1. Type the project ID on the left side of the line.
2. Include the four-digit uniform project number on the top line, but on the extreme right side.
3. Check each item as it's prepared for microfilming. The completed form will only have check marks for the documents included for microfilming.

A sample of the Microfilm Index form is shown on the next page.

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## MICROFILMING PROCEDURES CONTINUED

### Microfilm Index - example:

<b>Construction Bureau Project Files Microfilm Index</b> Montana Department of Transportation	
(1) Project <u>F 86-1 (9) 11</u>	(2) Project No./Control No. <u>2389</u>
<div style="border: 1px solid black; padding: 5px; text-align: center;"><b>Filmed If box is checked</b> <input checked="" type="checkbox"/></div>	
<ul style="list-style-type: none"><li><input checked="" type="checkbox"/> Microfilm divider</li><li><input checked="" type="checkbox"/> Microfilm index</li><li><input checked="" type="checkbox"/> File Index</li><li><input checked="" type="checkbox"/> Certificate of completion</li><li><input checked="" type="checkbox"/> Certificate of insurance</li><li><input type="checkbox"/> Change orders</li><li><input checked="" type="checkbox"/> Contract and bond</li><li><input type="checkbox"/> Extra work orders</li><li><input checked="" type="checkbox"/> Subcontract Approval Letter</li><li><input type="checkbox"/> Work Orders</li><li><input type="checkbox"/> BR-10A - Footing Log</li><li><input type="checkbox"/> BR-16 - Test Pile Notes</li></ul>	<p><b>Correspondence With:</b></p> <ul style="list-style-type: none"><li><input checked="" type="checkbox"/> Contractors re:<ul style="list-style-type: none"><li>• Safety</li><li>• Complaints/ claims—public/ landowners/ agency</li><li>• Giving directions, interpretations, decisions re: significant changes to design/ plans/ specifications</li><li>• Notice of violations</li></ul></li><li><input type="checkbox"/> Landowners re:<ul style="list-style-type: none"><li>• Construction changes in design/ right-of-way</li></ul></li><li><input type="checkbox"/> Public re:<ul style="list-style-type: none"><li>• Construction problems other than routine requests for information and minor complaints</li></ul></li><li><input type="checkbox"/> Public Agencies re:<ul style="list-style-type: none"><li>• Construction problems that may affect design/ agreements</li></ul></li><li><input type="checkbox"/> Utilities and Railroads re:<ul style="list-style-type: none"><li>• Construction that may result in design changes</li><li>• Mitigation / abatement of environmental regulation violations</li><li>• Modifications of agreements</li></ul></li><li><input checked="" type="checkbox"/> Interdepartmental Memos<ul style="list-style-type: none"><li>• Construction design changes</li></ul></li></ul>

### **Request for Highway Project-related Files:**

Three years after the Financial Management Bureau processes the final voucher, the Records Center notifies, in writing, all offices responsible for the "master" project files that the retention has been met and to begin preparation for microfilming. Attached to the memo is a list of the projects.

If litigation or an audit are pending on projects requested for microfilming, the Construction Bureau advises the Records Center, in writing. Those projects aren't prepared for filming until litigation or the audit are completed.

If there are tort claims pending for projects requested for microfilming, the Preconstruction Bureau advises the Records Center, in writing. Those projects aren't prepared for filming until the claims are settled.

Examples of the memo requesting the files and the project listing follow.

## Memo Requesting Closed Project Files - example:

Montana Department of Transportation  
Helena, MT 59620-1001

### Memorandum

To: Distribution  
From: Jo Anne Eschler, Manager  
Office Support Unit  
Date: (Current)  
Subject: Request for Highway Project-Related Files

It's been over three years since final payment was processed for the projects listed on the attachment. Therefore, by (1) \_\_\_\_\_ please send your prepared files for these projects to the Records Center (Room 011) for microfilming.

The phase information on the attachment should indicate whether your office will have project files. If you do not have files for your respective phase, return the attachment indicating which ones are missing.

For preparation, follow the instructions in Chapter VII of the Records Management Procedures Manual. If you have questions after reading the microfilming procedures, call the Records Center (7288).

Each project must be listed on a separate Records Transmittal Form (Form OS 3). Attach the form to the front of the file folder. Only use the number A storage boxes provided by the Records Center. Do not write on these boxes.

It's the responsibility of each bureau to advise its sections/units that these project files have been requested by the Records Center.

JAE: \_\_\_ :D:OS: \_\_\_

### Attachment

Distribution: Director's Office  
Financial Management Bureau  
Fiscal Programming Bureau  
Highways Division  
Bridge Bureau  
Construction Bureau  
Engineering Management Section  
Environmental & Hazardous Waste Bureau  
Materials Bureau  
Core Drill Section  
Geotechnical Section  
Preconstruction Bureau  
Public Affairs Bureau  
Rail & Transit Division

**Request for Project Files - example:**

MDT Records Center's Request for Project Files						MASTER FILE COPY
Dues:	Sept. 15, 1993					
Final paid:	Jul./Aug. 1988					
CN#	Phase	Project ID	Description	District	Tied	Contract #
0000	CN	P-PR-HES 12-1(3)0	West Yellowstone-West	2	N	F1656
0942	PE,CN	RRS 1025(4)	6th St.,West-Underpass	5	N	H0247
0663	PE,CN	BR 9008(10)	Dent Bridge Xing the Teton River	3	N	M2266
0253	CN	RS 236-2(3)65	15.7 Miles South of Big Sandy-South	3	N	S1385
0000	IC	N 5809(6)	Montana Ave. & Sierra Road-North of Helena	2	N	0000
0793	PE	BRF 3-2(14)40	Teton River Bridge-Southeast of Choteau	3	N	0000
0000	PE,CN	RRP 480-1(1)0	Spruce BN Xing	4	N	0000
0691	PE,CZ, CN	IR 15-2(52)126	Butte-Urban	2	N	I0956
0000	PE,CN	HES 234-1(1)4	South of Havre Road	3	N	0000
0640	PE,CN	BR 9007(12)	Sun River Bridge-1 mi. south of Emerson Junction Interchange	3	N	M2786
0618	PE,CN	BR 9029(7)	Big Hole River Bridge-S.W. of Twin Bridges	2	N	M2576
0000	PE,CN	RTF 11-1(13)0	Gerdiner - North	2	Y*	F0936
	PE,CN	RTF 11-1(14)40	Livingston - South	2	Y	
	PE,CN	RTF 29-1(14)20	Twin Bridges-Southeast	2	Y	
	PE,CN	RTF 46-2(2)17	Wisdom-West	2	Y	
	PE,CN	RTF 46-2(3)26	Wisdom-Northeast	2	Y	
	PE,CN	RTF 84-1(6)0	Norris-East	2	Y	
	CN	RTF 8-2(14)39	Helena - West (E.Sect.)	2	N	F1346
	CE,CN	RTS 306-1(4)0	Columbus - West	5	Y*	F1657
	CE,CN	RTX 48(9)	Columbus - Park City	5	Y	
	CE,CN	RTX 49(5)	Big Timber - Greycliff	5	Y	

PE:aaaug





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## Appendix A—Filing and Finding Procedures

### Basic Filing Procedures

- ☛ Arrange in chronological order, latest date on top.
- ☛ Remove clips. Staple related information together.
- ☛ Discard cover memos and routing slips if they don't contain pertinent information. Eliminate duplicates, scraps of paper, penciled notes and draft copies whenever possible.
- ☛ Retain drafts temporarily; keep only one copy of each change.
- ☛ Use short and descriptive secondary and tertiary classifications. Use nouns. Adjectives should only be used if needed for breakdown of the summary title.
- ☛ Alphabetize by arranging files in unit-by-unit order and letter-to-letter within each unit. Example: Johnson, James  
Johnson, John
- ☛ Each unit in a filing segment is to be considered. The only exception is the word "the" when it is the first word. Spell out all symbols (\$, #, &) and file alphabetically.
- ☛ File nothing before something. Example: Brown  
Browne
- ☛ Ignore all punctuation when alphabetizing. Treat hyphenated words as one word.
- ☛ Acronyms and abbreviations are filed as one unit. Example: IBM  
SCUD
- ☛ File under the most commonly used name. Cross-reference under other names.
- ☛ File like a computer. Example: St. Thomas (consider as one word)  
Saintthomas
- ☛ File by common titles.  
Example: Mother Theresa (file under the M for Mother)  
Pope John Paul (file under the P for Pope)
- ☛ File under common nicknames.  
Example: Carter, Jimmy (don't use James)  
Joel, Billy (not Billy Joel—last name first)
- ☛ When filing foreign names, use the last word in the series as the surname.  
Example: Sri Mulinjuno is filed as Mulinjuno, Sri  
Lim Hauw Tjin is filed as Tjin, Lim Hauw
- ☛ Insert out cards in place of file folders removed from files that identify the records, the persons withdrawing them and the dates they were taken.

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## **Appendix A—Filing and Finding Procedures (continued)**

### **Rules for Finding Missing Records**

1. Look in folders immediately in front of and behind the correct folder.
2. Look between folders.
3. Look under all folders—where the record may have slipped to the bottom of the drawer or shelf.
4. Look completely through the correct folder because alphabetic or other order of sequence may have been neglected due to carelessness or hurry.
5. Look in the general folder in addition to searching in the individual folder.
6. Check the transposition of names (Martin James, Hayes Benjamin instead of James Martin, Benjamin Hayes).
7. Look for the second, third or succeeding units of a filing segment rather than for the key unit.
8. Check for misfiling because of misreading of letters—e for i, n for m, t for l, C for G, etc.
9. Check alternate spellings (Jon, John).
10. Look under other vowels (for a name beginning with Ha also look under He, Hi, Ho, Hu).
11. Look for a double letter instead of a single one (or the reverse).
12. Look for anglicized forms of a name (Miller, Moller or Muller for Mueller).
13. Check for transposition of numbers (35 instead of 53).
14. Look in the year preceding or following the one in question.
15. Look in a related subject.
16. Be aware that the records may be en route to storage.
17. Ask the person who may have the record at his or her desk or briefcase to search for it.

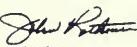




## Appendix B—Management Memo

Montana Department of Transportation	Management Memo Number	85-04
<b>Management Memo</b>	Date Issued	11-25-85
	Date Effective	11-25-85
Subject: Records Management		Revised 10-21-92

To: All Offices

From: John Rothwell   
Director of Transportation

### INTRODUCTION

This policy establishes the records management program, which is managed by the Office Support Unit.

### GENERAL INFORMATION

The objectives of the records management program are:

- to insure compliance with relevant laws and regulations;
- to provide quick and accurate access to our records;
- to minimize office space used to store records;
- to standardize our systems for filing, storing, retrieving and disposing of records; and
- to provide low-cost storage for inactive records.

### PROCEDURES

Records management procedures are published in the Records Management Procedure Manual. All offices must adopt the procedures as outlined in the manual.

Three years after final payment, highway project records are sent to the Records Center. The Records Center microfilms project records, thus providing a permanent copy for future reference and historical significance.

The second week in December is "Records Clean-Up Week." Annually, by October 1, Records Disposal Requests (form RM 5) are due in the Office Support Unit. This provides ample time for the State Records Committee's approval process.

Effective immediately, all file cabinet purchases must be approved by the Office Support Unit. Lateral file cabinets using color-coded filing systems is the office standard.

### CLOSING

An effective records management program saves time and space and insures compliance with laws and regulations.

JAE:Q:OS:gg:1.cm







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## Appendix C—Converting the Existing Filing System

Use the following procedures to convert your existing filing system to MDT's new general filing system.

### **Good planning...**

### **Records and non-records...**

#### **I. Inventory**

The first step is to inventory all the office records. Of course, good planning and organization can make this task easier.

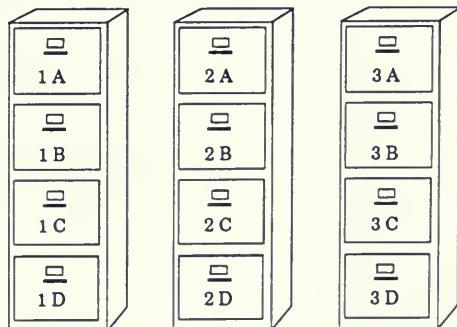
It's important to be able to distinguish between record and non-record material. Before beginning your inventory, read the list of non-record materials in General Schedule Number 8 in the Department of Administration's *Records Management Policy and Procedures* manual.

Start out at one end of a room and go through each piece of filing equipment. It may be helpful to:

- 1) **Draw a floor plan** of the office indicating the physical location of all records; and
- 2) **Label** each file cabinet in the office with:
  - a) a cabinet number, from number one to the total number of cabinets; and
  - b) a cabinet drawer letter, in alphabetical order from A to total number of drawers in each cabinet.

Example:

(Cabinet #1) (Cabinet #2) (Cabinet #3)



Note: These labels should be *kept on the cabinets* until your conversion has been completed!

- 3) **Purge** unnecessary documents before starting the inventory.

#### 4) Complete the Records Inventory form:

- A) Write the date the inventory is taken. Month and year are sufficient.
- B) Provide records description and form number (if any). For this initial inventory, it's helpful to include the file cabinet number and file drawer letter.
- C) Determine the record value.
- D) Recommend a retention period after determining the record value.
- E) List the fiscal year(s) on hand.
- F) State which office is responsible for retaining the master copy document.
- G) State the backup procedure used (e.g., microfilm, VAX, etc.) if your office is the master copy holder and if backup is required. If your office isn't the master copy holder, write 'none.'
- H) Record the primary classification code and abbreviation.
- I) Include the office name
- J) Print the name of the person preparing the inventory.

Montana Department of Transportation Records Inventory								(A) October 1991 Date		
Records Description and Form Number (if any)	Present Value* Archival, P-Perpetual Hold Legal V-Perpetual	Recommended Retention	First Year (earliest to last name)	Office Responsible for Master File Copy	Records Backup Procedure e.g. VAX, microfilm, etc.	Primary Classification	Primary Classifications			
(B) Users' Committee for 1 A Records Management Program	(C) (D) A	(E) 4 yrs. 89 - 91	(F) Support	(G) none	(H) 30 C/M	01 (ACT)	01 (ACT)	Accounting/Financial		
II Commerce, Department of	A	3 yrs.	Director's Office	none	10 AS	05 (AF)	05 (AF)	Agency/Petition		
C Correspondence with cities	H	3 yrs.	Director's Office	Hist. Society	16 CTC	10 (AS)	10 (AS)	Agency/State		
D Payrolls	F	4 yrs. 88 - 89	Acctg Section	none	01 ACT	12 (ACO)	12 (ACO)	Associations		
2 A AASHTO/WASHITO	A	4 yrs. 7	Planning & Progr.	none	12 AOC	16 (CLUD)	16 (CLUD)	Buildings		
B Budget Reports	F	2 yrs. 88 - 91	Budget Section	none	14 BUD	16 (CIV)	16 (CIV)	Construction/City/County		
C District Reports	A	3 yrs. until super- ceded	Highways Division	none	05 S/D/O	18 (CR)	18 (CR)	Civil Rights		
D Inventories	A	90 - 91	Acctg Bureau	none	01 ACT	20 (CIV)	20 (CIV)	Commissions/Meetings		
D Legislative Correspondence	H	4 yrs. 88 - 91	Director's Office	micro- film	55 LEG	22 (COM)	22 (COM)	Communications/News Releases		
D Personnel Files	A	1 yr. after term	Human Resources	none	60 PER	34 (COLA)	34 (COLA)	Committees		
* Administrative records are used to help accomplish the functions for which an agency was created. Administrative records usually reflect their current existence or the destruction of which they were a component.								05 (COLA)	05 (COLA)	Commissioners/Agents
** Current records provide no historical significance, such as statute, regulation, personnel, equipment, financial, or administrative records. For certain rules, records for the current fiscal year may be required.								40 (CPR)	40 (CPR)	Communication/Training
*** Historical records contain evidence of an agency's organization, functions, policies, and procedures, and are usually retained for a long time period. The information may be used in future research, reorganization, decisions, etc.								42 (CPR)	42 (CPR)	Equipment
**** Long-term records are required for the operation and function of an organization or agency. These records support agency storage or reuse needs of existing programs.								45 (COR)	45 (COR)	General Correspondence (no definition)
								50 (LGD)	50 (LGD)	Legal
								55 (LGD)	55 (LGD)	Legislation
								55 (MTC)	55 (MTC)	Management
								60 (PR)	60 (PR)	Program
								62 (PR)	62 (PR)	Program/Procedures
								65 (PRD)	65 (PRD)	Program and Projects
								67 (PRR)	67 (PRR)	Purchasing
								69 (PUR)	69 (PUR)	Rights of Way
								80 (SA)	80 (SA)	Safety
								85 (S/D/O)	85 (S/D/O)	Science/Invention/Inquiry (no definition)
								90 (V/LWD)	90 (V/LWD)	Survey/Geodetic/Transportation Systems
								95 (TS)	95 (TS)	Transportation Systems
								(I)		
								C-actor's Office		
								Office name		
								Jane Doe		
								Individual preparing inventory		

---

**APPENDIX C—CONVERTING THE EXISTING FILING SYSTEM (CONTINUED)****II. Supplies**

Order the supplies you need to do your conversion from central stores.

*Vertical Cabinets:*

	<u>Order No.</u>	<u>Order By</u>
<input type="checkbox"/> Self-adhesive labels. (Establish color codes for the primary classifications.)	7402-0100 thru 7402-0111	Box
<input type="checkbox"/> 1/3 left cut for the primary guide. (Blank manila-fibre guides)	7308-2300	Box
<input type="checkbox"/> 1/3 center cut for the secondary guide if needed. (Blank manila-fibre guides)	7308-2310	Box
<input type="checkbox"/> 2/5 right-cut file folders for the tertiary folder, letter size. (Manila file folders)	7304-2300	Box
<input type="checkbox"/> 2/5 right-cut file folders for the tertiary folder, legal size. (Manila file folders)	7304-2800	Box
<input type="checkbox"/> Out cards, top tab.	7308-2900	Box

*Lateral Cabinets:*

	<u>Order No.</u>	<u>Order by</u>
<input type="checkbox"/> End tab folders, letter size.	7305-4000	Box
<input type="checkbox"/> End tab folders, legal size.	7305-4010	Box
<input type="checkbox"/> Numeric colored labels.	7402-4000 thru 7402-4009	Box
<input type="checkbox"/> Self-adhesive labels. (Color-bar same as first number of primary classifications, two-digit colored labels.)	7402-0100 thru 7402-0111	Box
<input type="checkbox"/> Out cards, end tab, letter size	7308-2910	Box
<input type="checkbox"/> Out cards, end tab, legal size	7308-2920	Box

*Guides are not used in a color-coded, open-shelf system.*

---

### **III. Labels for the Vertical (Traditional) Filing System**

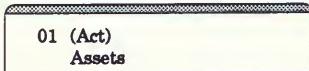
- Use color-bar adhesive labels.
- Type labels.
- Indent each line.
- Type labels for primary guides with classification number, name and abbreviation underneath.

Sample:



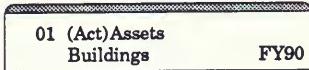
- Type labels for secondary guides with the primary classification number and abbreviation are on the first line. Secondary classification is underneath.

Sample:



- Type labels for tertiary folders with the primary classification number, abbreviation, and secondary classification on the first line. Tertiary description and the fiscal year are underneath..

Sample:



An example of guides and folders within the classification systems is illustrated on the following page. Remember, a different colored label is used for each primary classification. This color is the same on all guides and folders until the next primary classification begins.

---

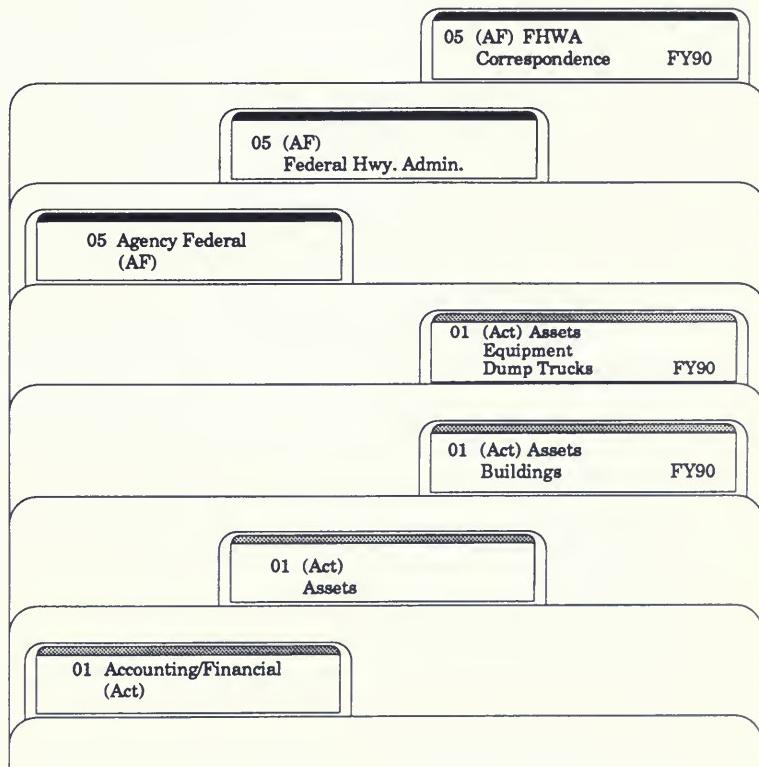
## **APPENDIX C—CONVERTING THE EXISTING FILING SYSTEM (CONTINUED)**

### **Vertical (Traditional) Filing System Layout**

**Primary—  
Left Position  
*Guide Only***

**Secondary—  
Middle Position  
*Guide Only***

**Tertiary -  
Right Position  
*Folder Only***



---

#### **IV. Labels for the Lateral Filing System**

- Use color-bar self-adhesive labels.
- Type labels.
- Indent each line.
- Use color-bar labels that are the same color as the first number of the primary classification's two-digit colored labels.

Following is an example of a typed label for a lateral file folder:



This label is read as follows:

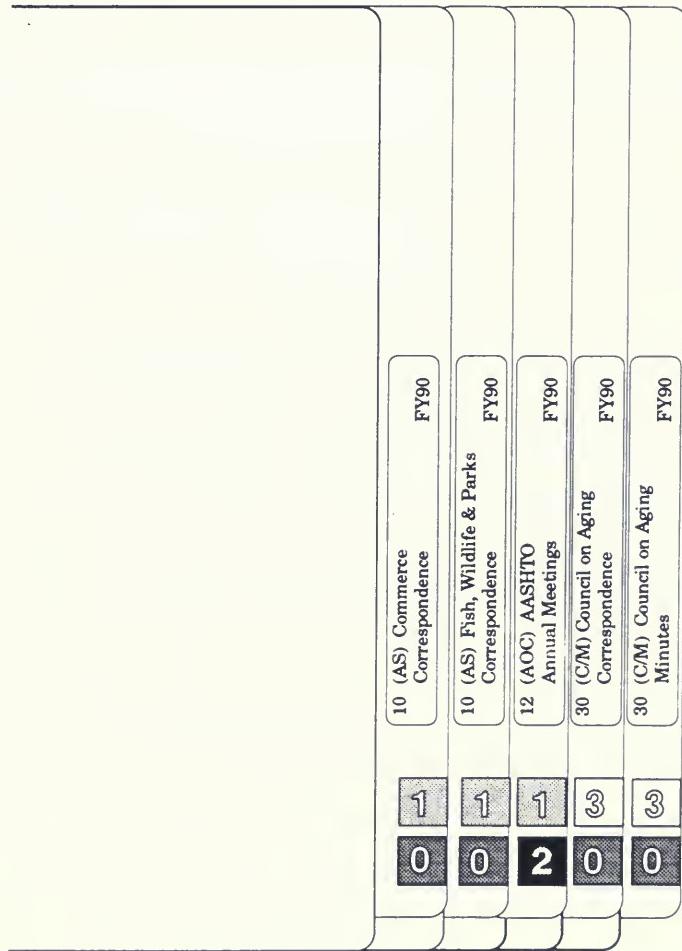
- 10 (AS) is the *Primary Classification* (see page I-6)
- Fish, Wildlife & Parks is the *Secondary Classification*
- Correspondence is the *Tertiary Classification*
- FY90—All file folders must be identified and labelled by *fiscal year*.

An example of the lateral filing system is illustrated on the following page.

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**APPENDIX C—CONVERTING THE EXISTING FILING SYSTEM (CONTINUED)**

**Lateral Filing System Layout**



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## V. Conversion

- Move any blank forms you have mixed with your filing system to a forms drawer or to another location.
- Place the file-system supplies (guides, folders, etc.) in a special area or move them to the last drawers in your active filing system.
- Analyze the contents of each folder to determine if the information contained agrees with the title. If not, move the documents to the folders they do pertain to, or establish a new file using the primary classifications.
- At this time, look to see if the material is past its retention period, outdated or a duplicate. If it is, take the appropriate action (see your retention schedule).

---

## Appendix D—Small Office Libraries

### Filing Procedures for Small Office Libraries

- ☞ Use "subject headings" for filing publications.
  - 1) MDT's General Filing System contains predetermined Primary Classifications ( see Chapter I of the Records Management Procedures Manual). Reference material can be filed under these same "subject headings."

or
  - 2) Create your own list of "subject headings" using broad titles which encompass like topics. Don't be lengthy. Post the list where the material is filed.
- ☞ Number the "subject headings." For example:
  - (95) Transportation Systems
    - Bike Routes
    - Bus Systems
    - Highways/Roadways
    - Rail Transportation
- ☞ Utilize the Office Support Unit's engineering/scientific thesaurus for "subject headings."
- ☞ Use literature filing boxes for publications, i.e., newsletters, magazines, reports. These boxes can be ordered from office supply stores.
- ☞ Arrange magazines or journals by title, not type. File alphabetically, how it would be asked for.
- ☞ Arrange publications by predetermined "subject headings," perhaps using literature filing boxes.
- ☞ Cross-reference whenever applicable/possible.
- ☞ Track filing on a, preferably sortable, computer program. Keep only current printouts handy.
- ☞ Don't separate by State, Federal or Local. This creates more places to look.
- ☞ Don't file entire publications when an article or two are needed. File articles in file folders under "subject headings."
- ☞ Purge these filing systems annually.







# Glossary

**Active Records:** Records referred to more than once a month per file drawer; therefore, records that should be retained in office space.

**Administrative Value:** The usefulness of records for management or summarizing purposes; value usually exhausts itself when transactions to which they relate are complete.

**Alphabetic File:** A file arranged in alphabetical sequence.

**Alphanumeric:** A combination of alphabetic and numerical characters.

- Archives:**
- 1) A body of permanently valuable records.
  - 2) The place where these records are kept.

**Association of Records Managers and Administrators (ARMA):** A professional organization for records and information management professionals.

**Backup Procedures:** Securing valuable records by duplicating the information by some source and storing this duplication off site.

**Central File:** Groupings of records in one location.

**Charge-out Card:** Card inserted in place of folder removed from a file cabinet that identifies the records (folder), the person withdrawing the folder and the date taken.

**Chronological File:** A file arranged in date sequence.

**Classification System:** A logical and systematic arrangement of files into groups or categories based on some definite scheme of natural relationships.

**Closed File:** A file which is assumed to be completed and to which no papers will be added.

**Copy:** A duplicate of the original records.

**Correspondence:** All formats intended to convey information to or from individuals within or outside an organization.

**Cross-Reference:** A finding aid indicating that a record is filed elsewhere. It is prepared when a record has more than one subject by which it can be requested. Either a copy of the original or a cross-reference form may be used.

**Cubic Foot:** The volume of paper records that will fill a space one foot high by one foot wide by one foot long. This is the basic measurement for paper record volumes.

Disposal: The final removal, whether for destruction or formal transfer to another agency, of records that have reached the end of their retention period.

Disposition: Any means of changing the location or physical state of records, including retirement, destruction, microfilming, duplication or transfer.

Document: An object upon which information is written, transcribed or recorded.

End Tab: A projection from the side of a guide or folder used to identify the contents. End-tab folders are used in a lateral filing system or on open-faced shelving.

End-tab Folders: Folders used in a lateral filing system or on open-faced shelving. Folders have a projection from the side used to identify the contents.

File: 1) A file folder. 2) The records contained in it. 3) Groupings of related records, whether on paper, film or electronic media usually in arranged or classified order.

File Classification System: A logical and systematic arrangement of files into subject groups or categories based on some definite scheme of natural relationships.

Filing Boxes: Containers for printed material.

Fiscal Value: The usefulness of records for the documenting of financial transactions and obligations.

Fiscal Year: July 1 through June 30.

Folders: Containers for documents within the storage system.

General Filing System: The uniformity of filing using primary, secondary and tertiary classifications to categorize records.

General Records Retention Schedules: Recommended retentions for records utilized throughout state government. These schedules are to be adhered to by all state agencies.

Green Stamp: The procedure of stamping one document (does not have to be the original) to be used as the master file copy.

Guide: A heavyweight card with a caption tab used to divide the contents of a file drawer.

Highway Project Filing Systems: These systems are used for project-related documents. There are two uniform filing schemes for these types of files: by the alpha-numeric project identification and by the four-digit uniform project number.

---

## GLOSSARY (CONTINUED)

**Historical Value:** The usefulness of records for documenting an agency's organization, policies, key personnel, major transactions, processes, trademarks and events. Typically about 5 percent of total records have historical value.

**Inactive Records:** Records that don't have to be readily available, but which must be kept for legal or historical purposes. Typically, these are records referred to less than once per file drawer per month.

**Index:** A reference guide to a listing or file, most commonly used as a locator.

**Lateral File Cabinets:** Filing equipment with retractable doors or open-faced shelving.

**Lateral Files:** Files which are stored from left to right rather than from front to back.

**Legal Value:** The usefulness of records as evidence supporting an organization's transactions, activities, claims and obligations.

**Life Cycle:** Creation, distribution, use, maintenance and disposition of a record.

**Literature Filing Boxes:** Containers for printed material, filed vertically.

**Location/Description:** Exact locator name of a highway project. This always accompanies the project ID and project number.

**Long-term Record:** A record that has continuing value to the organization.

**M.C.A.:** *Montana Codes Annotated.*

**Master File Copy:** The green-stamped document considered 'permanent' ...until the document's retention period has been met. The green-stamped document is the primary record and duplicate copies may be disposed.

**Master Project File:** The highway project file kept by each bureau of the Highways Division. The master project file accumulates the green-stamped documents to be microfilmed for long-term information.

**Microfiche:** A transparent sheet of film with microimages arranged in a grid pattern. A heading or number large enough to be read without magnification normally appears at the top of the microfiche.

**Microfilm:** A photographic procedure to record images in reduced size with such clarity that it can be enlarged back to its normal size without loss of detail.

**Microfilm Divider:** Form used to separate batches of records or to separate one office's records from another's on the microfilm.

**Microfilm Index:** A listing that indicates which documents in the master project file are to be microfilmed.

**Non-Record Material:** Records having no usefulness or importance in an agency's operations, i.e., rough drafts, catalogs, telephone messages, routing slips, etc.

**Numeric File:** A file arranged in numerical order of documents.

**Obsolete Records:** Records no longer of use or having no usefulness.

**Open Shelf Filing:** The method of filing records on open shelves from left to right instead of front to back in filing cabinets.

**Operating Value:** The usefulness of records in the conduct of an organization's regular business.

**Originator:** A person whose name appears on the signature line of a letter or after From: on a memorandum.

**Out Card:** The card inserted in place of documents removed from a file that identifies the records removed, the person withdrawing them and the date they were taken.

**Permanent Record:** Records of indefinite, long-term value. Typically about 5 percent of all records holdings.

**Primary Classifications:** The most general categories under which records can be filed.

**Primary Record:** The record which supports the primary purpose or function of an office (green-stamped master file copy after October 1, 1991). The primary record is retained until the retention period is met or until its microfilmed. Primary records are normally retained longer than the duplicates (secondary records) made from it.

**Primary Record Holder:** The office responsible for retaining the original or master record (green-stamped document). These records are held for a longer retention period or for more evident operational purposes.

**Program Code:** The office's responsibility center plus the number of the records series profile beginning with 01.

**Program Name:** The office name.

**Project ID:** The program number assigned to every project designating type, funding source and location.

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## GLOSSARY (CONTINUED)

**Project Number:** A non-sequential four-digit number assigned to every project for financial, historical and data purposes. This number is also called a Uniform Project Number.

**Public Record:** Any paper, correspondence, form, book, photograph, microform, magnetic tape, computer storage media, maps, drawings, or other document, including all copies, regardless of physical form or characteristics, that has been made or received by a state agency in connection with the transaction of official business and preserved for informational value or as evidence of a transaction and all other records or documents required by law to be filed with or kept by an agency of the state.

**Publication:** A work accepted for publishing. Disseminating information.

**Purge:** The removal of unnecessary documents.

**Recipient:** Anyone receiving a document. A recipient may be a person whose name appears as the addressee on a letter, after To: on a memorandum, or listed as a copy recipient on a document.

**Record Value:** The analysis of all records within an office to determine the administrative, fiscal, historical, legal or vital value to our agency's operation.

**Records:** Recorded information (books, papers, photographs, maps or other documentary materials) regardless of form or characteristics, made or received for legal, operational or historical purposes in connection with the transaction of business.

**Records Center:** A storage facility for the controlled maintenance, retrieval, storage and disposal of inactive records.

**Records Clean-Up Week:** The second week in December is "Records Clean-Up Week" for the department.

**Records Committee:** Consists of a representative from the offices of the Department of Administration, Attorney General, Legislative Auditor, Historical Society and Secretary of State.

**Records Coordinator:** A designated person from each office responsible for that office's active and inactive records by following the established records management procedure outlined in the *Records Management Procedures Manual*. Records Coordinators are the office liaisons with the Office Support Unit.

**Records Disposal Request:** The form used to request approval from the State Records Committee for disposition of records (Form RM 5).

**Records Inventory:** The physical inventory to identify the size, scope and complexity of an organization's records in order to evaluate, appraise and organize the collection.

**Records Management:** The systematic control of all records from their creation or receipt through processing, distribution, organization and retrieval to their ultimate preservation or disposition.

**Records Management Bureau:** The office appointed to transact all aspects of records management for all state agencies. This bureau is assigned to the Secretary of State's office.

**Records Management Manual:** A guide to how the records management system works.

**Records Manager:** The person assigned primary responsibility for the records management program.

**Records Retention Schedule:** The form used to recap the records 'series' profiles. It indicates the length of time each series is to be maintained in office areas and storage and when and how the series disposition will take place. The schedule must be approved by the Records Committee (Form RM 3).

**Records 'Series' Profile:** The form used to describe a group of related records' functions, recommended retention and disposition (Form RM 1).

**Records Transmittal and Receipt of Records:** The form used by the sending office and the Records Center for the transfer and receipt of project files. Also used to show the file location and microfilming and disposition dates (Form OS 3).

**Retention Period:** The period of time records must be kept. Usually stated in terms of years, but sometimes based on the occurrence of an event, such as employee termination, contract closure, statutory limitations period, etc.

**Retrieval:** Locating and delivering records for use.

**Scheduled Records:** Records for which there is an official retention schedule (Form RM 3 or the DOA general records retention schedules).

**Secondary Classification:** The second classification further describing the primary classification by which records are filed.

**Secondary Records:** Duplicates of records. These records are not considered the primary record. Secondary records are copies of primary records or working papers. These are retained for a shorter period of time than the primary records.

---

## GLOSSARY (CONTINUED)

**Secondary Record Holder:** The office holding the duplicate of primary records. These records are held for a shorter retention period or for less evident operational purposes.

**Subject Headings:** Broad titles used to encompass like topics.

**Tab Cut:** The length of the tab in proportion to the width of the folder.

**Temporary Record:** A record that doesn't have continuing or lasting value to the organization; sometimes called a transitory record.

**Tertiary Classifications:** The most specific and least general categories under which records can be filed.

**Uniform Classification System:** A standard classification system used throughout an organization.

**Uniform Project Number:** A non-sequential, four-digit number assigned to every project for financial, historical and data purposes. This number is also called a Project Number.

**Vertical File Cabinets:** Traditional filing equipment with pull-out drawers.

**Vertical Files:** Files which are stored from front to back (traditional).

**Vital Record:** Records containing information essential for: the resumption of operations after a disaster; the reestablishment of the legal and financial status of the organization; and the determination of the rights and obligations of individuals and corporate bodies with respect to the organization.

(###)







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